



Ministry of Housing
and Urban Affairs

Government of India



**SWACHH
SURVEKSHAN
2019**

Survey Toolkit

Foreword



HARDEEP S PURI

Hon'ble Minister of State (Independent Charge)
Ministry of Housing & Urban Affairs

In order to pay a tribute to Mahatma Gandhi on his 150th birth anniversary, India has pledged to become Open Defecation Free and clean by 2nd October 2019. Urban India is now poised at the cross roads of a major turnaround in its 'swachhata' status. In less than 2 months, we will be beginning our last lap of the Swachh Bharat 5-year marathon – the last year of the Mission to achieve our twin objectives of an Open Defecation Free (ODF) and clean India.

When the results of the Swachh Survekshan 2018 survey were announced, the excitement and anticipation among cities was palpable – a testimony to the way the survey has captured the mind space of cities and citizens alike.

Given the spirit of healthy competition that has been generated among cities around 'swachhata', it is a matter of pride for me to release this toolkit for Swachh Survekshan 2019. Given that the survey this year will cover all Urban Local Bodies in the country, this early release of survey indicators will help cities immensely in not only preparing themselves well ahead of the actual survey in January 2019 but also help in improving the overall quality of life for their citizens through enhanced service levels towards sanitation and cleanliness.

I wish all cities the very best of luck for Swachh Survekshan 2018, and look forward to another healthy competition to take forward the mandate of 'swachhata' in Urban India.

A handwritten signature in blue ink, appearing to read 'Hardeep S Puri', with a long horizontal stroke extending to the right.

HARDEEP S PURI

Hon'ble Minister of State (Independent Charge)
Ministry of Housing & Urban Affairs

Foreword



DURGA SHANKER MISHRA

Secretary

Ministry of Housing & Urban Affairs

The objective of the Swachh Survekshan survey is to encourage citizen participation, increase city capacities for sustainable ODF and sanitation measures and to create awareness amongst all sections of society about the importance of collective action to contribute in India's journey towards a 'Swachh Bharat'.

The success of Swachh Survekshan in 2016 covering 73 million plus population cities followed by Swachh Survekshan 2017 covering 434 cities and Swachh Survekshan 2018 covering 4,203 cities have made us

more determined to actively work with cities to build their capacities and improve their service delivery to citizens for Swachh Survekshan 2019. The survey methodology and indicators have been designed in a way as to not only ensure sustainability of achieved outcomes but also garner additional engagement from citizens.

Swachh Survekshan has become a significant measure of India's sanitation status and I believe these guidelines will help the participating cities adequately prepare for the 2019 Swachh Survekshan.

A handwritten signature in black ink, appearing to read 'D. Mishra', written over a horizontal line.

DURGA SHANKER MISHRA

Secretary

Ministry of Housing & Urban Affairs

Foreword



VINOD KUMAR JINDAL

Joint Secretary & National Mission Director
Swachh Bharat Mission (Urban)
Ministry of Housing & Urban Affairs

The Swachh Survekshan - a survey conducted to rank cities on various sanitation and cleanliness parameters - was launched by my Ministry under Swachh Bharat Mission (Urban) in January 2016, with the intention of enthusing cities with a spirit of healthy competition towards the concept of 'swachhata'. In its first round in 2016, the 'Swachh Survekshan' was conducted among 73 million plus cities and state / UT capitals of India. Given the excitement and enthusiasm, alongwith a spirit of healthy competition that was generated among cities in the first round, the Swachh Survekshan 2017 was scaled up to cover 434 cities with population of 1 lakh and above. The third round of Swachh Survekshan in 2018 was a quantum leap of scale - conducted across 4,203 cities, in a record time of 66 days, and became the largest ever Pan India Sanitation Survey in the world, impacting around 40 crore people.

The Swachh Survekshan 2019 will be conducted across all cities and towns across the country between 4th - 31st January

2019. The distinctive features of the survey are geared towards encouraging large scale citizen participation, ensuring sustainability of initiatives taken towards garbage free and open defecation free cities, providing credible outcomes which would be validated by third party certification, institutionalizing existing systems through online processes and creating awareness amongst all sections of society about the importance of working together towards making towns and cities a better place to live in

It is my pleasure to release the Swachh Survekshan 2019 toolkit covering survey methodology and assessment parameters serving as a guiding document and ready reckoner to help cities prepare well and step up their service delivery levels to get a high score during the survey.

I wish all participating cities the very best of luck in preparing themselves for the Swachh Survekshan 2019, and hope that they are able to make the best possible use of these guidelines to build up their capacities.

Table of Contents

Executive Summary	10
Survey Methodology	11
Evolution of Swachh Survekshan	14
Swachh Survekshan 2019 Ranking Criteria	15
Change in Assessment Weightage	16
'Service Level Progress' Weightage Distribution	17
Part-1: Service Level Progress	19
• Collection and Transportation (7 indicators)	20
• Processing and Disposal (8 indicators)	28
• Sustainable Sanitation (7 indicators)	37
• IEC & Behavior Change (3 indicators)	45
• Capacity Building (2 indicators)	49
• Bye-Laws/Regulation (4 indicators)	52
• Innovation and Best Practices (2 indicators)	57
Part-1A: Independent Validation of Service Level Progress	61
Part 2 : Certification	63
Part 3 : Direct Observation	66
Part 4 : Citizen Feedback	75



Executive Summary

As a prelude to encouraging cities to improve urban sanitation, Minister of Housing and Urban Affairs (MoHUA) had conducted 'Swachh Survekshan-2016' survey for the rating of 73 cities in January 2016 followed by 'Swachh Survekshan-2017' conducted in January-February 2017 ranking 434 cities and recently concluded Swachh Survekshan 2018 for ranking 4,203 Cities. In a bid to scale up the coverage of the ranking exercise and encourage towns and cities to actively implement mission initiatives in a timely and innovative manner, MoHUA now proposes to conduct its fourth survey to rank all cities under Swachh Bharat Mission-Urban (SBM-U).

The objective of the survey is to encourage large scale citizen participation, ensure sustainability of initiatives taken towards garbage free and open defecation free cities, provide credible outcomes which would be validated by third party certification, institutionalize existing systems through online processes and create awareness amongst all sections of society about the importance of working together towards making towns and cities a better place to live in. Additionally, the survey also intends to foster a spirit of healthy competition among towns and cities to improve their service delivery to citizens, towards creating cleaner cities.

In order for cities to reap the maximum developmental benefits from the survey, concerted efforts are being taken to design sustainable solutions and strengthen the capacities of the cities to understand the

modalities and spirit of the survey. This year, MoHUA aims to complete the survey of all ULBs in total 4 weeks - between 4th January to 31st January, 2019. Further, to claim indicator wise marks, ULBs will have to update their monthly on-line MIS on SBM(U) portal, upload indicator wise supporting documents on Swachh Survekshan-2019 portal by 15th December, 2018 along with uploading City profile by 30th November, 2018. This would ensure systematic reporting of facts which shall be validated during the survey

The MoHUA will conduct intensive interactions through Swachh Survekshan-2019 regional workshops to familiarize ULBs with the survey methodology, survey process and indicators, and also clarifying their expectations from the survey.

Since citizen participation is a very crucial component of this survey, this year's indicators have marks for innovations led by citizens and their contribution to overall reduction of the city's solid waste generated. Social media and other traditional media channels will be used strategically at both national through the 'Swachh Manch'- a platform for citizens to connect and contribute to the overall cleanliness of the city. State and city levels campaigns are being promoted in order to educate citizens about the objectives of the survey and survey methodology, as well as to reinforce the importance of their participation in the survey, in order to ensure significantly higher levels of participation from all citizens.

Survey Methodology

Sources and Methods of Data Collection

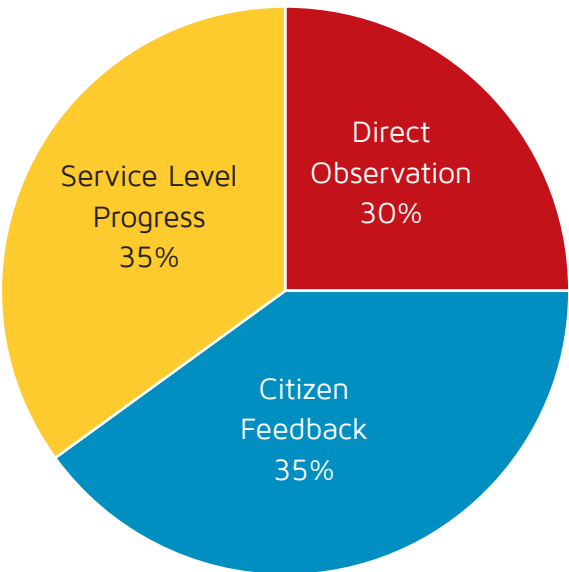
The data to be collected for ranking of the cities shall be segregated into 4 main areas:

1. Collection of data from online MIS portal of MoHUA for Service Level Progress
2. Collection of data from Direct Observation
3. Collection of data from Citizen Feedback
4. Certifications for Garbage Free Cities and Open Defecation Free Cities

The survey indicators/questionnaire will carry total 5000 marks. For 'Swachh Survekshan-2019' assessments, MoHUA has revised the weightage for the overall assessment and components of Swachh Bharat Mission. These modifications are produced below:

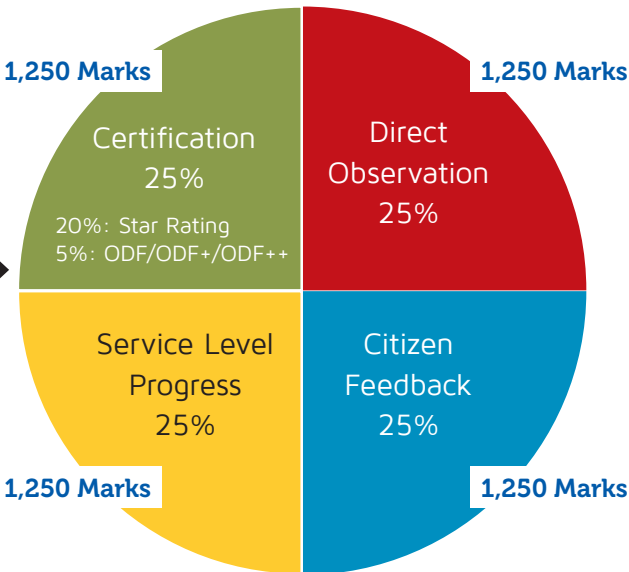
Swachh Survekshan 2018

Total Marks: 4,000



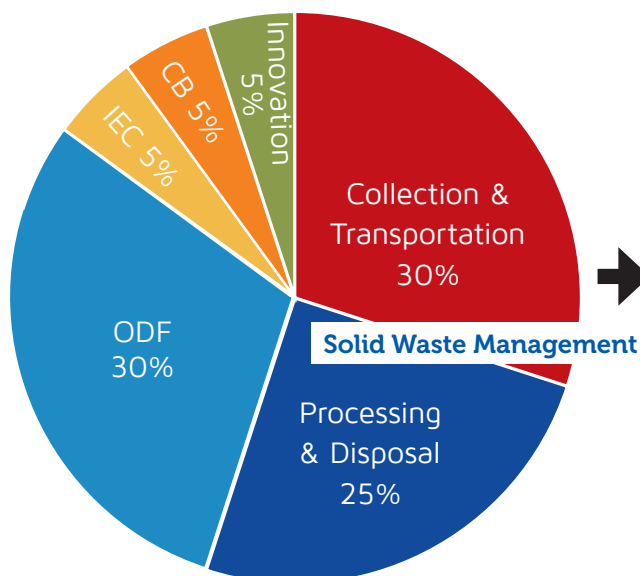
Swachh Survekshan 2019

Total Marks: 5,000



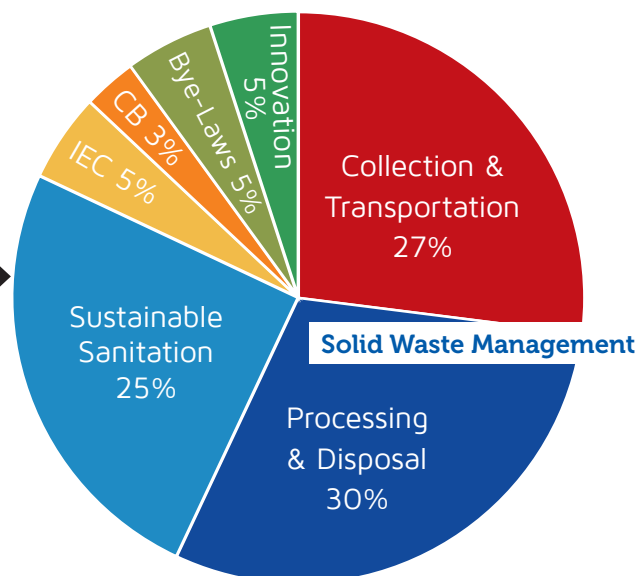
Swachh Survekshan 2018

Total Marks: 1,400



Swachh Survekshan 2019

Total Marks: 1,250



METHODOLOGY FOR CITY RANKING

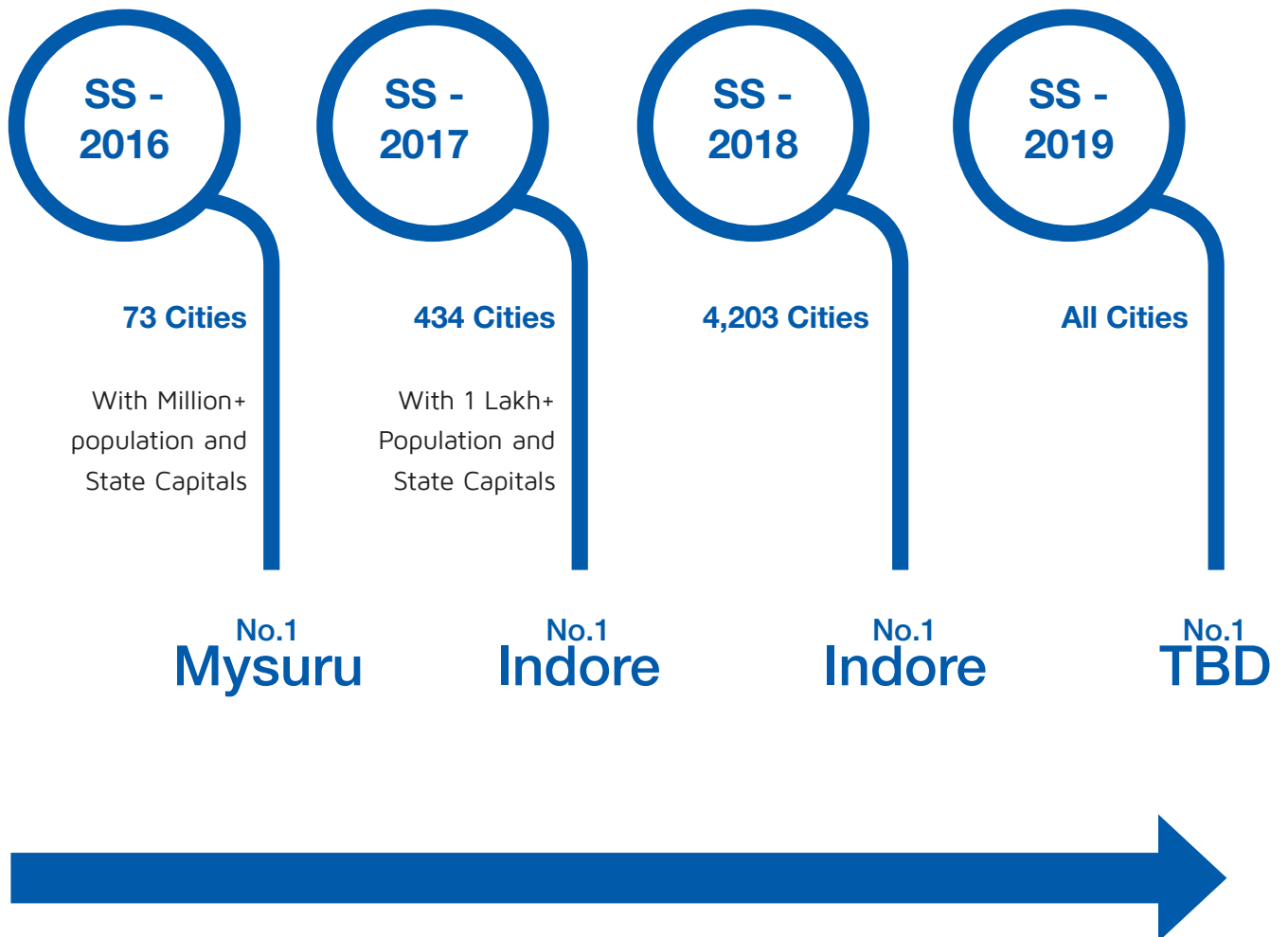
- **Part-1: Service Level Progress:** (Verification of data submitted by the Urban Local Bodies on the online MIS portal of MoHUA): The ULBs have to fill the online MIS portal which would holistically capture indicators of Swachh Survekshan 2019. Further, The Municipal Commissioner/Nodal Officer will also self-assess the performance of the city as per survey indicators/questions. The assessor/survey agency will verify each and every detail entered on the online MIS. As per operational design of Swachh Survekshan-2019, the assessors would not interact in person with ULB officials for data verification. The latest data entered by the cities by 15th December, 2018, on the online MIS prior to the assessment, would only be considered for evaluation
- **Part -2: Certification** (Star Rating of Garbage Free Cities and Open Defecation Free Protocols): MoHUA has introduced an

important component of 'Certification' of the city on two different aspects:

- Star Rating of Garbage Free Cities:** The cities would be assessed on the basis a third party certification for achieving a 1,2, 3, 4, 5 or 7 Star rating as per the protocol released by MoHUA. The protocol has measures for ensuring cities have managed their solid waste in a sustainable manner. Citizen feedback and validation is also an integral part of this protocol.
- Open Defecation Free Protocols:** While majority of the cities have made progress on the ODF protocol adherence, this year the Ministry has launched ODF+ and ODF ++ protocols which focus on sustaining Community/Public toilet usage by ensuring their functionality, cleanliness and maintenance (Improved Standards) and achieving sanitation sustainability by addressing complete sanitation value chain i.e. Faecal Sludge Management.

- **Part-3: Direct Observation** (On-field independent observation and Collection of data): The collection of data from Direct Observation shall be based on physical observation of the survey agency. The questionnaire shall be used as the tool for observation and data entered by the ULBs on MIS portal of MoHUA. The survey agency will use maps and simple handheld device/ recording formats to record their observations and findings along with Photographs/videos, wherever necessary. The survey agency will systematically collect photos as evidence for field observations. These must be properly documented with date/ time/ location parameters and presented to the MoHUA as a part of their contractual submissions, along with data and reports for each of the cities. As a part of direct observation, the survey agency shall be visiting the following places: in each zone in each city.
 - **Residential and Commercial areas:** Slum/Old City/Unplanned Area/ Planned Area, informal settlements and urban villages across the different parts of the city. (Slum settlement to be randomly picked in each zone i.e. North, South, East and West). The assessor would observe whether Wall paintings/ murals/Artifacts, Plantation has been done to enhance the aesthetic aspect of the city. Whether covered drainage is there, No water logging, No broken footpath/ pavement, No solid waste in water bodies/storm water drains – filtration/screening system in place to check solid waste flowing etc. is being practiced/ adhered.
 - **Public and Community toilets** randomly picked in each zone i.e. North, South, East and West according to population to check if they are connected with onsite safe disposal system (Septic tank with no overflow) or sewer network – no open drainage. The assessor would also check if the toilets are user friendly for all citizens
 - **Vegetable/Fruit and Meat/Fish markets** in the city shall be visited to ascertain the cleanliness and overall management of waste generated from these areas.
 - Catchment areas of biggest **Railway Stations, Bus Stations/Depots and Airport** of city to ensure there is no litter and open defecation being practiced in the vicinity
 - **Bulk waste generators** viz. hotels, banquet halls, weekly vegetable market areas (one of them) (Bulk generator in each zone i.e. North, South, East and West to be randomly picked)
 - **Part-4: Citizen Feedback** (to be collected from Citizens directly (face to face), through Outbound Calls, 1969, Swachhata App/Swachh Manch and through Swachh Survekshan-2019 portal) – Sample size to be 0.1% of city's population or minimum 1000 feedbacks from cities with more than 1 lakh population. For cities with less than 1 lakh population, the minimum sample size would be 250 citizens feedback. Discussions with local citizens to be carried out to ascertain and confirm data on certain indicators. The questionnaire shall be used as the tool for data collection. The database of phone numbers shall be provided by the ULB. In absence of sufficient data from ULB, a third party vendor's database may be used for the town / city.

Evolution of Swachh Survekshan



Swachh Survekshan 2019 Ranking Criteria

Cities with <1 Lakh Population

Cleanest City – Rank No.1
Cleanest City – Rank No.2
Cleanest City – Rank No.3

Population wise Zonal (5) and National Ranking

50 K - 1 L

25 - 50 K

5 -25 K

Cities with >1 Lakh Population

Cleanest City – Rank No.1
Cleanest City – Rank No.2
Cleanest City – Rank No.3

Population wise National Ranking

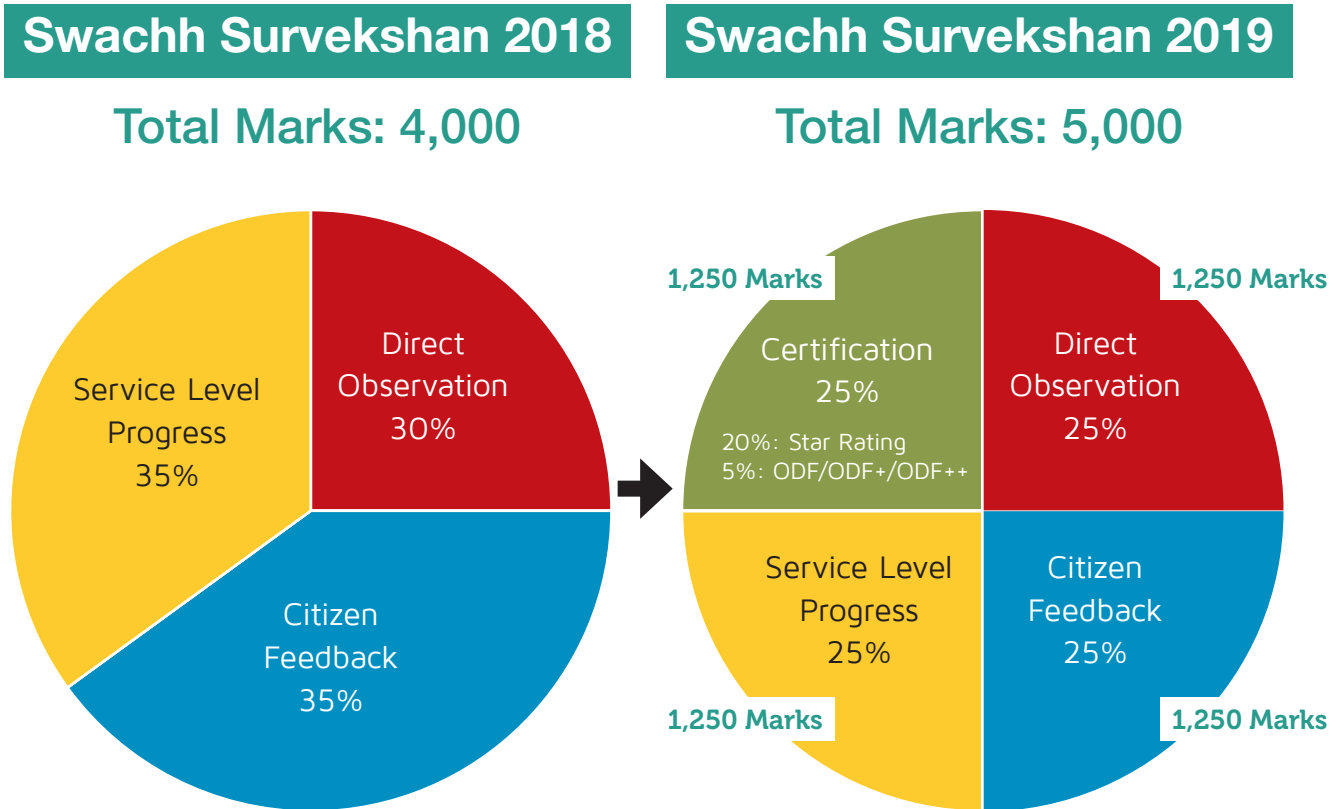
1-3 L

3-10 L

>10 L

- Note:
- Ranking for Overall Best Performing State shall be done separately
 - 62 Cantonment Boards included – shall be listed separately for ranking
 - All ULBs came into existence till 31st December 2017 will be covered

Change in Assessment Weightage

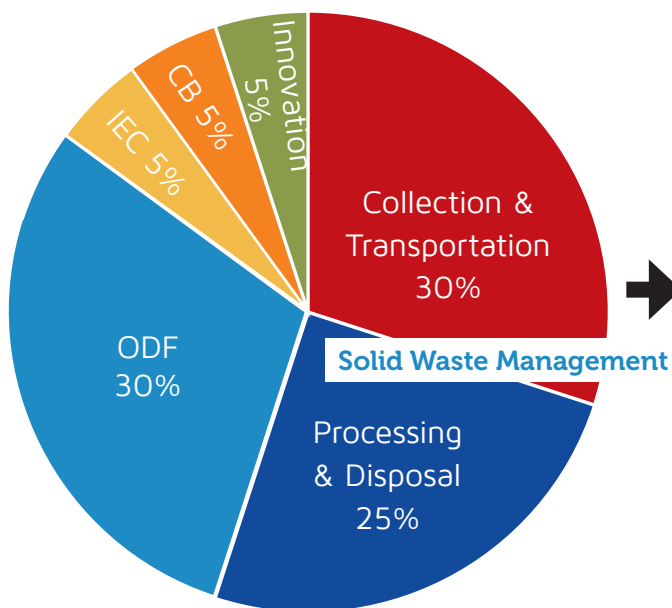


- Focus on the outcome and sustainability
- Substantiation by Independent Certification, On-line verification, Citizens Feedback and on-ground scrutiny

'Service Level Progress' Weightage Distribution

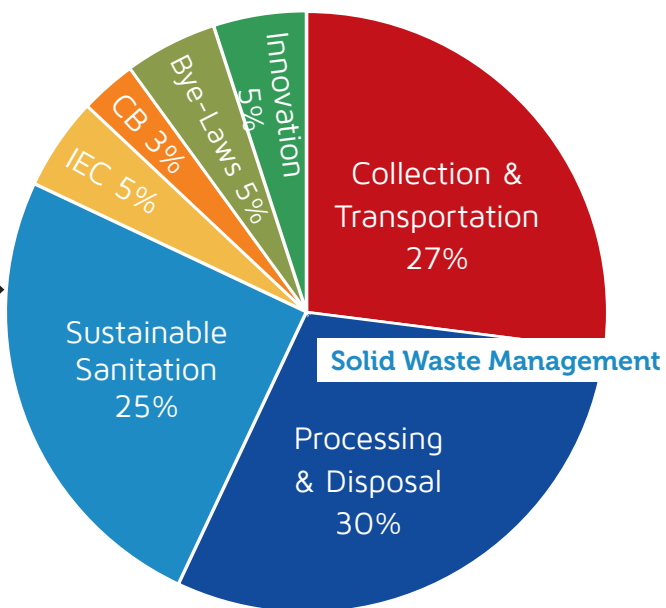
Swachh Survekshan 2018

Total Marks: 1,400



Swachh Survekshan 2019

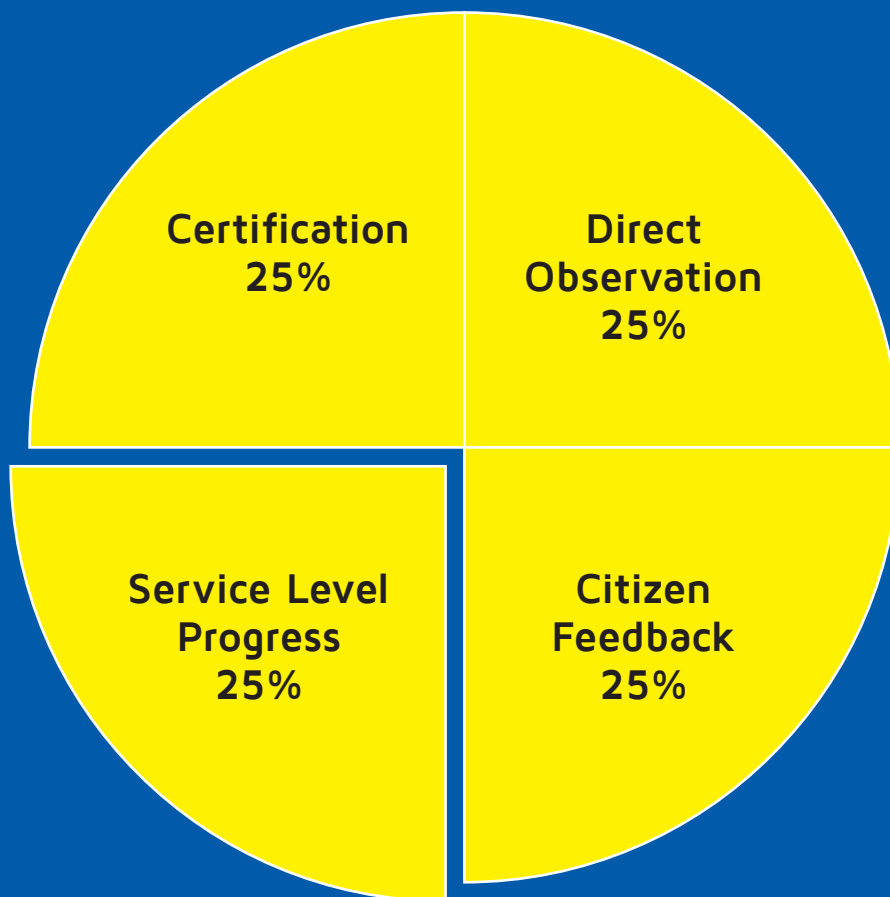
Total Marks: 1,250



- Focus on Segregation, Processing, Sustainable ODF and enforcement of Bye-Laws

PART-1

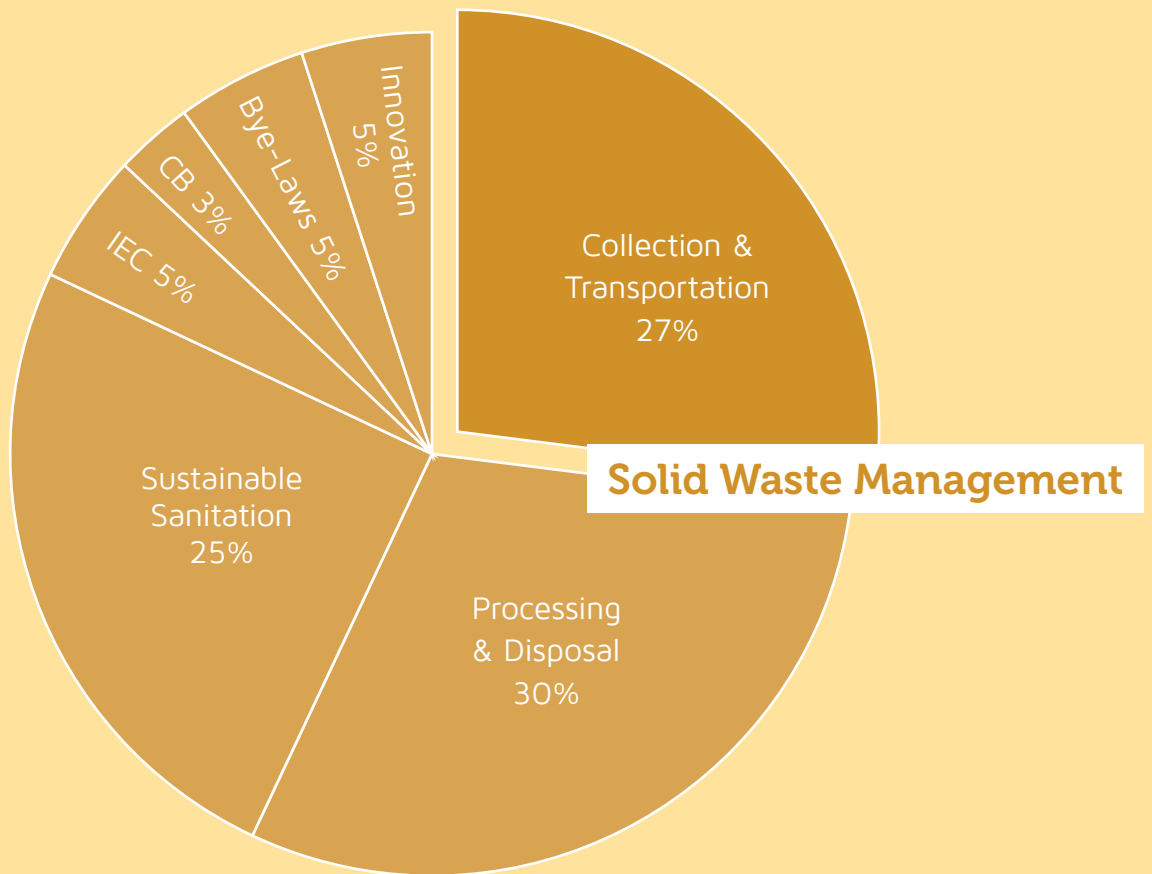
SERVICE LEVEL PROGRESS



1,250 Marks / 5,000

1

Collection and Transportation



Total Number of Indicators: 7
338 Marks / 1,250 Marks

11

Percentage of Wards covered with operational Door to Door Collection of waste (Municipal Solid Waste)

Marks
45

PURPOSE

This parameter examines whether your ULB has a system in place for door-to-door collection of Municipal Solid Waste. Coverage of wards means all households/commercial establishment in the ward. 'Star Rating of Garbage Free City' protocol can be referred for further clarification.

MEANS OF VERIFICATION

- SBM(U) on-line MIS: Data/progress updated till 15 December, 2018
- Ward wise staff deployment plan/Copy of Log book or any other ward-wise record for waste collection from commercial areas and residential areas from September 2018 onwards(Nov-Dec'18 documents mandatory).
- Copy of contract/MoU/Official Engagement letter and payment/ activity report if this service has been outsourced. Contract should be signed latest by 31th Oct'18.
- Number of vehicles (including non-motorized) deployed separately for door to door collection. Waste carrying capacity of these vehicles and number of trips

Scheme of Ranking for Door to Door Collection	Marks
Practiced in >95% Wards	45
Practiced in 80%-95% Wards	35
Practiced in 60%-79% Wards	25
Practiced in 40%-59% Wards	15
Practiced in <40% Wards	0

1.2

Percentage of Wards practicing source segregation of waste which is maintained till processing/disposal site

Marks
65

PURPOSE

This parameter examines whether your ULB has a system in place for collection of Municipal Solid Waste in segregated manner (Wet and dry waste). The segregated waste thus collected should be maintained in two streams until it reaches the processing plant/site or Material Recovery Facilities (MRF). Disposal will cover inert only. Coverage of wards means all households/commercial establishment in the ward. 'Star Rating of Garbage Free City' protocol can be referred for further clarification.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Ward wise staff deployment plan/Copy of Log book or any other ward-wise record for segregated waste collection from commercial areas and residential areas from September 2018 onwards(Nov-Dec'18 documents mandatory).
- Copy of contract/MoU/Official Engagement letter and payment/ activity report if this service has been outsourced. Contract should be signed latest by 31th Oct'18.
- Number of vehicles (including non-motorized) with partition or separate containers for carrying Dry and Wet waste or number of vehicles deployed separately for dry and wet collection. Waste carrying capacity of these vehicles and number of trips
- Total number of Wet/Dry waste generated daily as per population criteria or real data available with the ULB
- Log books of transfer stations/processing plant/MRF (centralized or decentralized) indicating daily tonnage of dry and wet wastes received and processed

Scheme of Ranking for Door to Door Collection	Marks
Practiced in >95% Wards	65
Practiced in 80%-95% Wards	45
Practiced in 60%-79% Wards	25
Practiced in 40%-59% Wards	15
Practiced in <40% Wards	0

1.3

ICT based Monitoring Mechanism in place for :
Ward wise Collection and Transportation (C&T)
including emptying Litter bins from Commercial
areas (no spill over), Monitoring of Garbage
Vulnerable Points (GVPs) and Sanitation Staff.

Marks
50

PURPOSE

This indicator examines the ICT enabled mechanisms by which the ULB monitors its efficiency of the collection and transportation system, regularity of its staff and sustaining the transformation/cleanliness of Garbage Vulnerable Points. Cities with <1 lakh population can monitor Collection & Transportation through a manual system.

MEANS OF VERIFICATION

To qualify, monthly review of logs generated in the above three categories needs to be maintained

- On-line MIS: Data/progress updated till 15 December, 2018
- Screenshot of App(s) - to be operational in all wards by 30th October, 2018
- Copy of documentation with number of vehicles deployed by the ULB (either own/outsourced) along with documents supporting number of vehicles fleet with GPS/RFID
- For cities with <1 lakh population to share copy of manual monitoring of collection & transportation system, if no ICT based monitoring .
- Copy of GPS/RFID log, manual entry log and activity report from the last 2 months for each vehicle
- Screen shot of website page where this is available in public domain.
- Screenshot of Sanitary Workers' payroll linked to ICT based attendance system. If Sanitary Workers' are outsourced, the contractor will provide the similar evidence.
- Evidence of installation and monitoring of GVPs using CCTVs or any other ICT based monitoring system.

Scheme of Ranking for 100 % coverage	Marks
ICT based Collection & Transportation	20
ICT based GVP monitoring	20
ICT based attendance for Sanitation Staff's	10

1.4

Percentage of Informal Waste Pickers formally integrated into Sustainable Livelihoods through Self Help Groups/ Cooperatives/Contractors/NGOs

Marks
40

PURPOSE

Formally integrating the informal waste pickers helps improve the living standards of urban poor by engaging them in areas including collection & transportation, processing (Material Recovery Facilities etc.), construction/ maintenance of toilets. or establishing linkages with National Urban Livelihood Mission (NULM) and Skill India etc.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Copy of survey report of on-field assessment or any study for identification of informal waste pickers in the city. The survey should not be more than one year old.
- Ward-wise List of informal waste pickers with the ID numbers issued to them with payment record
- List of informal waste pickers engaged in different work streams
- Copy of contract, with SHGs (Self Help Groups)/Cooperatives/ Contractors/ NGOs that have enrolled informal waste pickers in their groups demonstrating convergence between SBM(U) and National Urban Livelihoods Mission/Skill India and others

Scheme of Ranking	Marks
>95% Informal waste pickers integrated	40
80-95% integrated	25
60-79% integrated	15
Less than <60% integrated	0

1.5

Benefits extended to Sanitary workers

- Provision of personal protection equipment (PPE) - including uniform, fluorescent jacket, hand gloves, raincoats, appropriate foot wear and masks, to all sanitary workers handling solid/ liquid waste and the same are used by the workforce engaged under/through Jaagirdari system, SHG, NGO, private agency etc.
- All Sanitary Workers have been given access to medical facilities in Municipal/Government/ Private hospitals and dispensaries; and
- Monthly recognition of best performing workers
- Training imparted to sanitary workers



Marks
55

PURPOSE

MSW 2016 mandates provision of protective equipment(PPE) to all workers involved in handling solid/liquid waste (engaged under Jaagirdari, SHG, NGO, private Agency, regular/casual workers etc.).

Workers can be linked with Aayushman Bharat health scheme/ESI or by issuing health cards, conducting training

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15th December, 2018
- Document indicating total staff (permanent/contractual/casual) deployed for handling solid waste
- Copy of procurement mechanism for personal protection equipment
- Evidence of personal protective equipment handed over to workers
- Pictorial evidence of personal protective equipment being used by the workers on daily basis.
- Evidences of linkage with health benefits/scheme.
- Evidence of recognition of best performing workers - methodology to be shared by the Ministry
- Evidence of training imparted to sanitary workers
- List of all sanitary workers with phone numbers

Scheme of Ranking – 100% compliance against each parameter	Marks
PPE to all sanitary workers	20
Linkage with medical benefits for all sanitary workers	15
Monthly recognition of best performing workers	10
Training imparted to all sanitary workers	10

1.6

100% Wards are Clean in the Urban Local Body (ULB)

- Twice a day sweeping (including night sweeping) in all commercial areas, once a day sweeping in all residential areas, removal of animal dung, transformation of Garbage Vulnerable Points(GVP), no solid waste visible in storm water drains/water bodies, beautification of slums and old city areas)

Marks 65

PURPOSE

This parameter is to examine whether all the commercial areas in the city are swept at different intervals of the day including festivals and Sundays (with mandatory night sweeping , clearing animal dung, elimination of GVPs). Slums and old city areas should have painted walls, plantations, covered drains/no open pits, free from water logging, etc.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Ward wise list of commercial and residential areas, parks, black carpeted roads, GVPs, storm water drains, water bodies, slums and old city area.
- Evidence of sweeping commercial areas twice a day, in residential areas once a day, cleaning water bodies, storm water drains and beautification of slums and old city areas in the form of activity log/roster report/attendance of sanitation staff
- If work is outsourced to an external agency, the contract document which has a clause for sweeping commercial areas twice a day and night sweeping should be provided.
- Evidence of transformed GVPs, and beautification of slums and old city areas.

Scheme of Ranking	Marks
Twice a day sweeping in all commercial areas	20
Once a day sweeping in all residential areas	10
Removal of animal dung	5
Transformation of GVPs	10
No solid waste in storm water drains/water bodies	10
Beautification of slums/old city	10
Adherence for all above six	65

Proportionate marks, with reference to percentage of coverage, shall be allotted. 100% marks for 100% coverage.

1.7

Is the city bin free?

Street/road side large bins and dhalaos (meant for secondary storage) should be removed.

Marks
18

PURPOSE

This indicator examines if the ULB has provided facilities/options for citizen / establishment for door to door collection of waste in a segregated manner so that secondary transfer points with large bins/ dumper placers /hook loader bins are not required in the city. Please note that placing litter twin bins of capacity 50-100 liters in commercial/public areas is exempted under this indicator. Please make sure litter bins are labelled properly for dry and wet waste. Shopkeepers and commercial establishments should also have individual twin bins. Vendors are not expected to dump their waste in the litter bins.

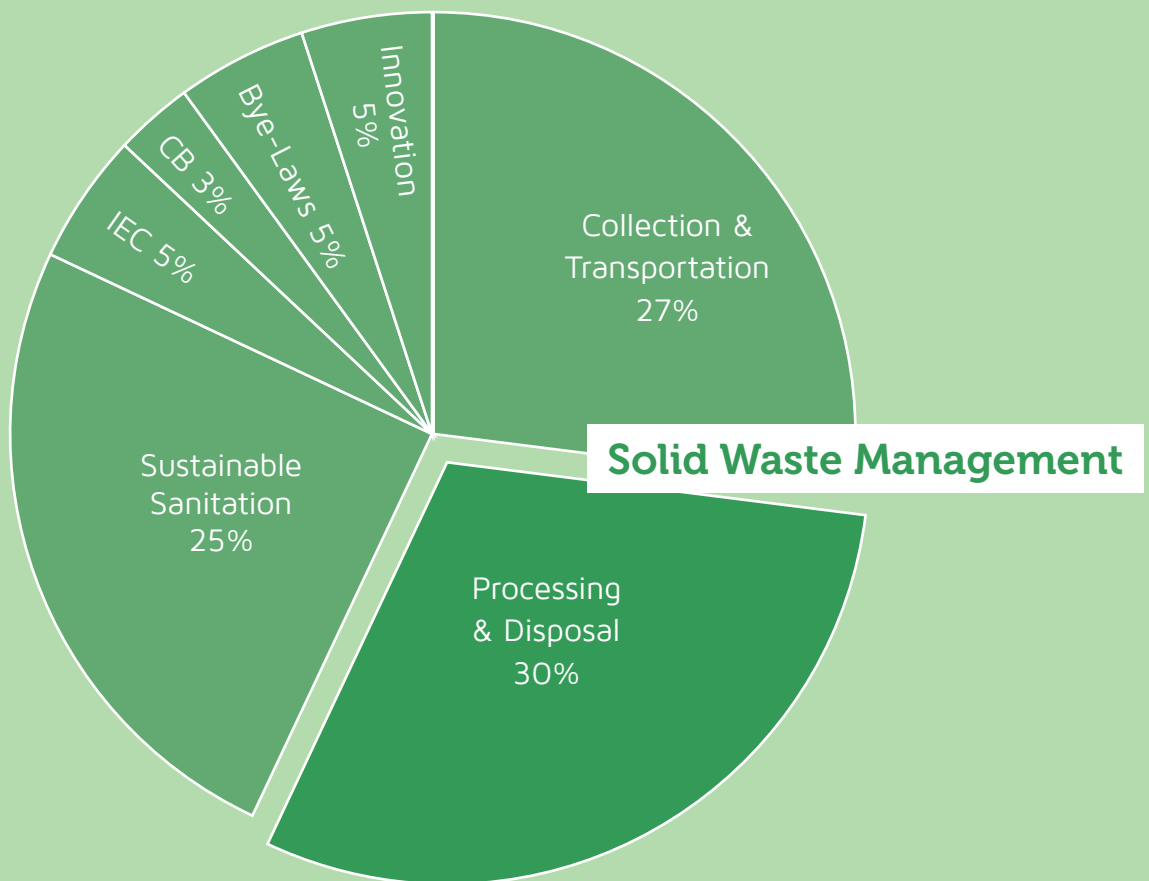
MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Number of Waste bins required as per SWM Management Manual 2016 (relevant page to be attached)
- Mechanism adopted for waste management, after removal of waste bins in the city
- Copy of the installation log of litter twin bins (Wet & Dry), or Copy of the document/ map showing bin locations/numbers
- Copy of the list of commercial areas that are covered by door to door collection and directly transfer the collected waste to the processing/disposal, along with the details of dustbins placed in shops.
- Image of bins displaying clearly the labels/stickers
- 'Before & After' pictures of the spots from where bins have been removed
- Screenshot of Sanitary Workers' payroll linked to ICT based attendance system. If Sanitary Workers' are outsourced, the contractor will provide the similar evidence.
- Evidence of installation and monitoring of GVPs using CCTVs or any other ICT based monitoring system.

Scheme of Ranking	Marks
Adherence in >95% wards	18
Adherence in 75-95% wards	16
Adherence in 50-74% wards	14
Adherence in <50 % wards	0

2

Processing & Disposal



Total Number of Indicators: 8
375 Marks / 1,250 Marks

2.1

Percentage of total wet waste collected is treated, either by decentralized or centralized processing

Marks
60

PURPOSE

This indicator assesses the extent of decentralized and centralized management of wet waste generated. The amount of wet waste being sent to the landfill should be minimized.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Total Wet Waste generated daily on actual basis/DPR or by using 225 gram per capita criteria
- Total number of decentralized waste processing units in the city – Waste processing capacity and Waste collected Vs processed per day (including RWAs and Bulk Waste Generators) – Log book to be referred
- Evidence of centralized waste processing facility in the city. Total waste collected Vs processed per day – Log book to be referred
- Waste processing capacity to be taken for only functional processing units
- Of the total waste generated, quantity of wet waste sent to the landfill – Log book to be referred
- Evidence of home based waste processing to be provided – ULB to provide details of households

Scheme of Ranking	Marks
>95% of the waste	60
80 – 95%	50
60 – 79%	40
40 – 59%	30
<40%	0

2.2

Percentage of total dry waste (including plastic and domestic hazardous waste) collected is treated/recycled, either by decentralized or centralized processing

Marks
60

PURPOSE

This indicator assesses the extent of decentralized and centralized management of dry waste generated. Is the dry waste of the city being recycled or reused?

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Total dry Waste generated daily using per capita criteria OR actual generation value
- Total number of decentralized waste processing units in the city – Waste processing capacity and Waste processed per day (including RWAs and Bulk Generators) – Log Book to be referred
- Evidence of centralized waste processing facility in the city. Total waste processed per day – Log Book to be referred
- Waste processing capacity to be taken for only functional processing units
- Mechanism in place for domestic hazardous waste and plastics
- Domestic hazardous and plastic waste should be collected separately

Scheme of Ranking	Marks
>95 of the waste	60
80 – 95%	50
60 – 79%	40
40 – 59%	30
x<40%	0

2.3

Any mechanism in place to manage Construction & Demolition (C&D) waste as per C&D Waste Management Rule, 2016?



PURPOSE

This indicator assesses the extent of decentralized and centralized management of C&D waste generated. The indicator would also assess the extent of utilization of C&D waste in the city.

How city is tracking random dumping? Whether C&D Waste Helpline in place? Availability of dedicated Vehicles? How C&D waste is being managed? Any penalty system for throwing C&D waste in open areas?

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Average C&D waste generated daily – ULB to share the data.
- Public notification for C&D waste services
- Evidence of functional C&D Waste Helpline/Call center, list of vehicles for managing C&D waste and penalty system in place for open dumping along with details of penalty/fines collected and
- If C&D waste management service provider engaged by the ULB, contract/agreement copy with payment details.
- Evidence of ULB approving C&D Waste Management Plan from Bulk Waste Generators, generating >300 Ton C&D waste in a month, before giving sanction for construction
- If Bulk Waste Generator is getting its C&D waste managed by the external agency/contractor, copy of contract/agreement including payments made
- Notification issued for use of at least 10-20% of C&D waste in Government/Municipal/Municipality approved construction activities in non-structural applications.
- C&D waste should be segregated in following five categories – concrete, soil, steel, wood & plastics, bricks & mortal
- List of C&D waste collection centers in the city – Log Book showing management of C&D waste as per prescribed rule.

Scheme of Ranking	Marks
>95 of the waste is managed	50
80 – 95%	35
60 – 79%	25
40 – 59%	15
<40%	0

2.4 Remediation of existing dumpsites undertaken and the stage of the same

Marks
40

PURPOSE

This parameter assesses whether remediation and scientific capping is being practiced or whether the city is dumping waste in an unplanned manner as per the SMW 2016 rules.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Assessor would verify the claim by referring DPR/ EOI/RFP/ Agreement signed to confirm the status/progress made.
- Pictures to be shared if dumpsite(s) remediated / being remediated
- If Zero landfill city, waste management model to be shared

Scheme of Ranking	Marks
Remediation work completed	40
Work commenced(at-least 10 % of the total waste remediated)	30
Work awarded/ Agreement signed	20
Tenders called (more than 2 valid tenders)	10
No process started	0

2.5

Is the landfill in the city a sanitary landfill? Or landfill not required/ Zero landfill city

Marks 50

PURPOSE

This parameter assesses whether the land fill site of the ULB is scientific/ planned in nature or in accordance with SWM 2016 rules

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- If landfill is operational, 'photo of the landfill site with date' as evidence OR DPR/ any other document regarding scientific management (safe containment and leachate treatment and gas capture and treatment, etc.) of landfill in place and functional.
- Documentation/log books of amount of waste being dumped in the landfill site
- If landfill is under construction, copy of the agreement with agency who is developing the landfill and pictorial evidence of the construction work should be submitted
- Copy of agreement, if work is yet to be started
- Copy of tenders, if identification of agency is being done for construction of the land fill site

Scheme of Ranking	Marks
Sanitary landfill available and being used / Landfill not required	50
Sanitary landfill under construction	40
Agreement for construction done but work not commenced	25
Tenders called for construction of sanitary landfill site	15
Land is identified	5
No action taken	0

2.6

What percentage of the operational cost of Sanitation and Solid Waste Management is covered by Property Tax, (SWM/sanitation sub head) ,User Charges(for SWM/sanitation related services , Sale of city compost and Advertisement rights on CT/PT and Litter Bins? Salary expenses to Daily wagers, contractual or outsourced staff through service providers(against vacant posts) will be added along with cost

Marks
50

PURPOSE

To make the SWM system financially sustainable

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Evidence of property tax collected with specific sub-head for SWM/ Sanitation charges
- Total number of households and the user charges per each for solid waste management
- Total operational cost of SWM activities in the ULB e.g. collection costs, salaries, equipment and capital costs, transportation costs, processing costs
- Total revenue from sale of city compost and other sources of revenue from processing of waste to be provided

Scheme of Ranking	Marks
100% of the cost	50
80 – 95% of the cost	40
60 – 79% of the cost	40
40 – 59% of the cost	20
<40%	0

2.7

Percentage of Bulk Waste Generators (BWG), including those generating more than 100 Kgs (or less as notified by the State/city) of waste per day, practicing on site processing of their wet waste (processing not outsourced to ULB)

Marks
50

PURPOSE

This parameter assesses whether the bulk waste generators in a city are practicing on site composting their premises or not. All such establishments generating more than 100 Kgs(or as notified by the State/city) of waste per day are being considered as bulk waste generator. Outsourcing of waste processing through ULB will not be considered for marking against this indicator.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- List of establishments generating more than 100 Kgs (or less as notified by the State/city) of waste per day.
- Copy of notice/letter issued by ULBs to all the above listed establishments for practicing on-site processing of waste.
- Pictorial Evidence of on-site processing
- Confirmation/acknowledgement letter from Bulk Garbage Generators that they are practising on-site processing of their wet waste
- Copy of agreement if outsourced to private agency. ULB cannot process their waste.
- Copy of notification and public notice released for informing bulk waste generators

Scheme of Ranking	Marks
>95% BWG practicing on-site processing	50
80-95 %	40
60-79%	30
40-59%	20
Less than 40%	0

2.8

Percentage of households processing their wet waste at Home

Marks
15

PURPOSE

This indicator assesses the extent of home composting being practiced to manage wet waste generated in the city. IEC campaign supported by proper handholding will help citizens to opt for home composting, thus taking ownership of their wet waste.

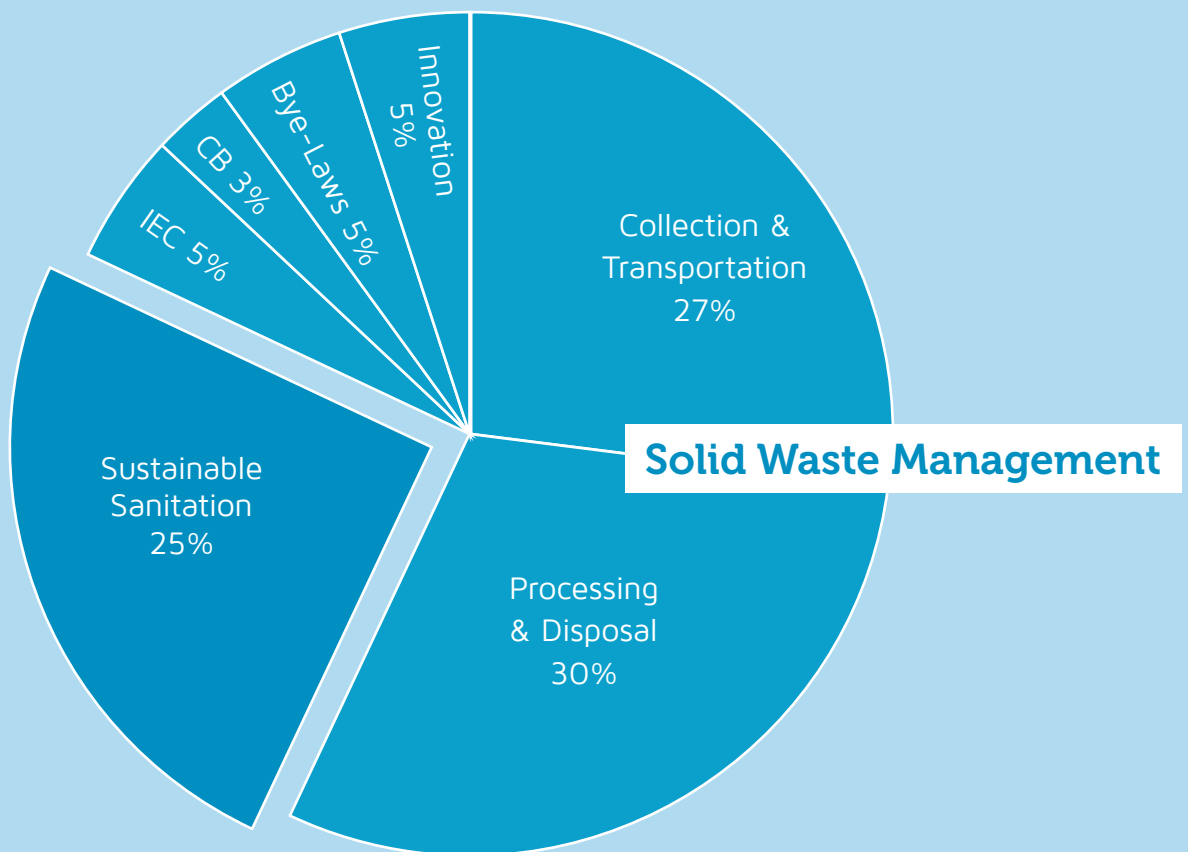
MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Total Wet Waste generated daily on actual basis/DPR or by using 200 gram per capita criteria
- Total number of household processing wet waste in their premises itself
- Ward wise evidence of household processing their wet waste
- Quantity of wet waste processed
- ULB to provide detail of households processing their wet waste

Scheme of Ranking	Marks
>5% of the households	15
3-4%	10
2-3%	7
1-2%	4
<1%	0

3

Sustainable Sanitation



Total Number of Indicators: 7
313 Marks / 1,250 Marks

3.1

What percentage of Households/Commercial Establishments/ CTs/PTs; are connected to a closed system such as sewerage, septic tank + soak pit, twin-pit system etc., (no open system/connection/flow/discharge)

Marks
70

PURPOSE

This indicator will ascertain whether the city has adequate coverage of sewerage network or septic tanks

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Details of households/commercial establishment/CT&PT are mapped to sewerage network or have septic tanks
- Details of vehicles used for de-sludging with log book
- Details about Treatment of Sewage treated per day versus capacity to treat per day (in MLD)
- Location of the STPs (with co-treatment facility) and the distance from the city
- Ward wise details of septic tanks in the city

Scheme of Ranking	Marks
>95 % households/commercial establishment /CT&PT are connected to sewerage system or have septic tanks	70
80-94% households/commercial establishment / CT & PT	50
55-79% households/commercial establishment / CT & PT	30
40 – 54% households/commercial establishment / CT & PT	10
< 40% households/commercial establishment / CT & PT OR no data available	0

3.2

What percentage of faecal sludge generated from Households/Commercial Establishments/ CTs/PTs; is treated at FSTP/ STP - Scientific processing of faecal sludge



PURPOSE

This indicator will ascertain whether the city has adequate processing facility for faecal sludge

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Details of working/functional STPs/FSTPs in the city
- Details of households/commercial establishment/CT&PT are mapped to designated de-sludging operator
- Details of vehicles used for de-sludging with log book
- Details about Treatment of Sewage treated per day versus capacity to treat per day (in MLD)
- Location of the STPs (with co-treatment facility) and the distance from the city
- Details of septic tanks in the city
- Capacity of FSTP Vs actual treatment details

Scheme of Ranking	Marks
>95 % households/commercial establishment /CT&PT are linked to a faecal waste management facility	48
80-94% households/commercial establishment / CT & PT	36
55-79% households/commercial establishment / CT & PT	24
40 – 54% households/commercial establishment / CT & PT	12
< 40% households/commercial establishment / CT & PT OR no data available	0

3.3

IHHL – What percentage of completed toilets (under SBM-Urban only) have water available at source?

**Marks
45**

PURPOSE

For any household to use the toilet, water supply is the minimum requirement. The ULB need to make sure that each household with a toilet must have functional water connection so that people should not defecate in the open. This will also help in achieving and sustaining the ODF status.

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- The ULBs should provide the following documents as evidence:
- List of IHHL constructed under SBM-Urban
- List of households with functional water connection / or any other source of water for operating the IHHL

Scheme of Ranking	Marks
>95% of the IHHLs	45
80 – 95%	35
60 – 79%	25
40 – 59%	15
Less than 40%	10

3.4

Are all Public toilets in your city are uploaded as 'SBM toilet' on google maps?

Marks
60

PURPOSE

Easy access to Public toilet will improve Public toilet usage. Floating population will also get benefited by searching and accessing the 'SBM toilets' on google map.

MEANS OF VERIFICATION

- Should be verified from MoHUA dash board
- Toilet data to be shared with the MoHUA by 30th October, 2018

Scheme of Ranking	Marks
Yes	60
No	0

3.5

Percentage of CT/PTs open between 4.00 am to 10.00 pm?

Marks
30

PURPOSE

Easy access to Community and Public toilet will improve Community/Public toilet usage. Floating population will also get benefited by searching and accessing the 'SBM toilets' on google map.

MEANS OF VERIFICATION

- The ULBs should provide the following documents as evidence:
- Should be verified from MoHUA dash board
- Toilet data to be shared with the MoHUA by 30th October, 2018

Scheme of Ranking	Marks
>95% CT/PTs	30
80 – 95% CT/PTs	20
70 – 84% CT/PTs	10
55 – 69% CT/PTs	5
<55% % CT/PTs	0

3.6

Has the city ensured toilet facilities in construction sites (with 25 workers or more) with safe disposal of faecal sludge

Marks
30

PURPOSE

This indicator would assess whether the city has ensured provision of toilet facilities to migrant population /construction workers. Mobile toilets can be provisioned at construction sites for the workers

MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Copy of the permission issued for construction/re-construction
- Mechanism to ensure provisioning of toilet/ Mobile toilets
- List of toilets, with pictures, designated for each construction site

Scheme of Ranking	Marks
>95% construction sites with toilet provision	30
80 – 95% with toilet provision	20
60 – 79% with toilet provision	15
Less than 60%	0

3.7

What percentage of Operations and Maintenance costs of Community/Public Toilet and FSTP are being recovered through revenue streams viz. Property tax (sanitation specific), User charges, etc.

Mark
30

PURPOSE

This indicator would assess the sustainability of city's infrastructure towards Faecal Sludge and Septage Management.

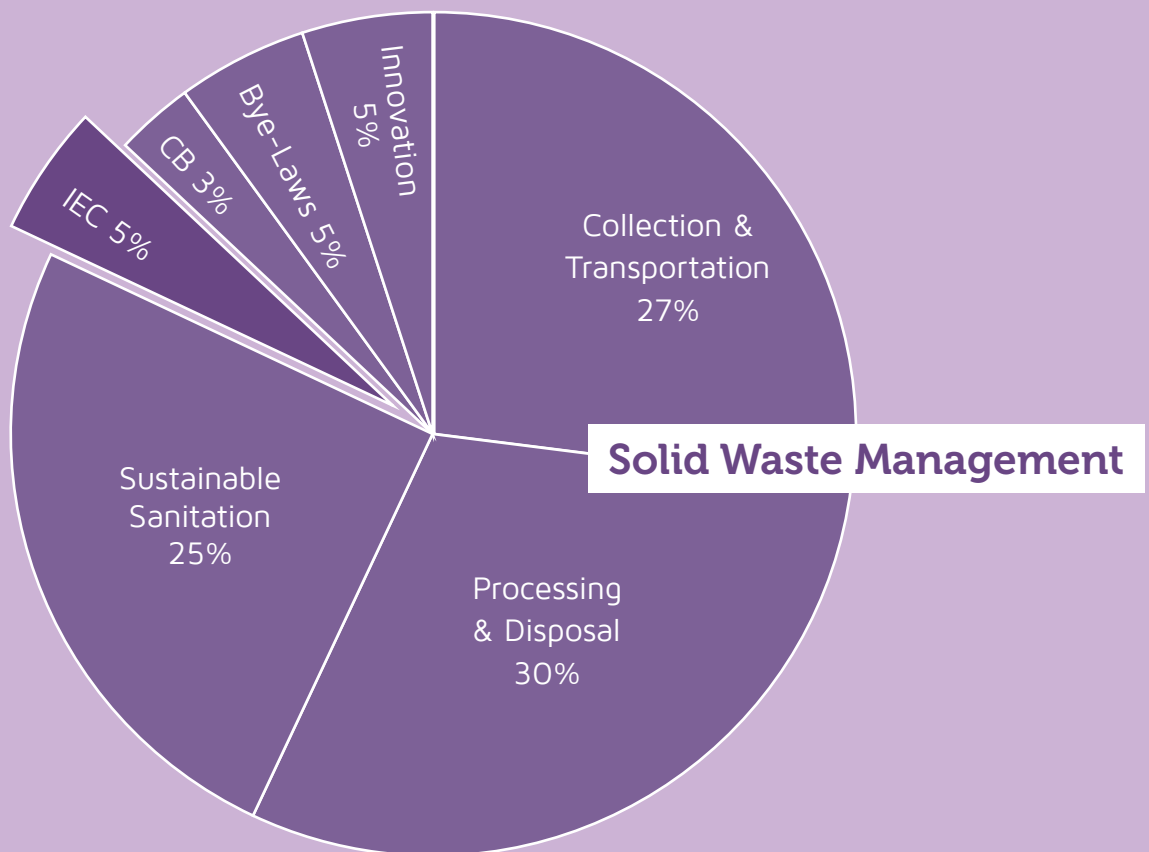
MEANS OF VERIFICATION

- On-line MIS: Data/progress updated till 15 December, 2018
- Detail of working/functional CTs & PTs, FSTPs/STPs in the city.
- Copy of user fee collected for services provided .
- Total costs involved in operation and maintenance of the Faecal Sludge Management infrastructure.
- Details of desludging operators (with name, vehicle and phone number) mapped to households which have septic tank or are not connected to sewage network.

Scheme of Ranking	Marks
100% of the cost	30
80-99%	20
60 – 79%	10
40 – 59%	5
< 40%	0

4

IEC & Behavior Change



Total Number of Indicators: 3
63 Marks / 1,250 Marks

4.1

Whether Swachh Survekshan-2019 campaign promoted in the city?

Marks
23

PURPOSE

Cities are expected to promote Swachh Survekshan-2019 creative designed by the Ministry and/or ULB in all commercial areas/public places, railway stations/metro stations, bus stations, Airport (Taxi stand/auto rickshaw stand in the absence of bus station/railway stations/airport).

MEANS OF VERIFICATION

- Details of Ulb led campaign uploaded on Swachh Manch
- Details of citizen led campaign uploaded on Swachh Manch.
- Pictorial evidence of Swachh Survekshan 2019 campaigns conducted
- Whether uploaded on social media
- Evidence of dissemination through social media
- List of organizations/citizens engaged
- Number of hours committed by citizens
- Minimum 100 citizens should participate at any given time

Scheme of Ranking	Marks
Yes, to all 4	23
Yes, to any 3	20
Yes, to any 2	17
Yes, to any 1	12

4.2

Short movie/audio jingle created by the ULB/Citizens for circulating amongst citizens through social media



PURPOSE

The purpose of this parameter is to motivate ULBs to create city specific Swachh Survekshan-2019 campaigns (preferably in Hindi or local language with subtitles) to ensure SBM behaviour change communication is seamless. Film/audio can also be shot/recorded through mobile phone. Let citizens create such videos/jingles and support their ULB in Swachh Survekshan-2019

MEANS OF VERIFICATION

- Theme wise list of such video /audio jingles created.
- To be uploaded on Swachh Manch and social media
- Evidence of dissemination through Swachh Manch and social media – with date and month
- Evidence of coverage

Scheme of Ranking	Marks
Yes, in circulation from September 2018	20
Yes, in circulation from October 2018	18
Yes, in circulation from November 2018	16
Yes, in circulation from December 2018	14

4.3

Are citizen led campaigns being conducted in the city At least 2 events/campaigns conducted per month from October 2018 onwards.



PURPOSE

The purpose of this parameter is to motivate ULBs to create citizen led campaigns to make Swachh Bharat Mission a Jan- Andolan. Minimum 100 citizens should participate at a given time

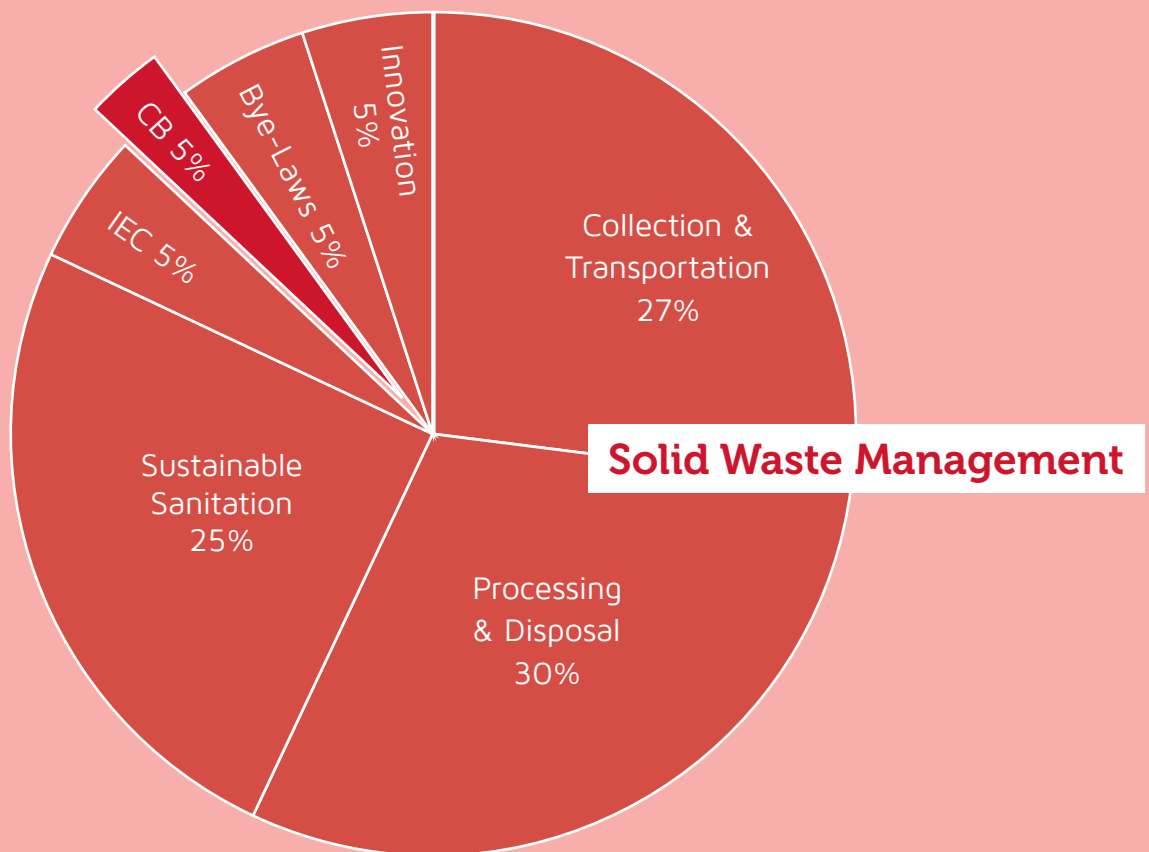
MEANS OF VERIFICATION

- Details of citizen led campaign uploaded on Swachh Manch.
- Pictorial evidence of campaigns conducted
- Whether uploaded on social media
- Evidence of dissemination through social media
- Any Impact assessment
- List of organizations/citizens engaged
- Number of hours committed Vs Percentage of population
- Same set of participants should be avoided during

Scheme of Ranking	Marks
Yes, from October – December 2018	20
Yes, from November - December 2018	15
Yes, in December 2018 only	10

5

Capacity Building



Total Number of Indicators: 2
37 Marks / 1,250 Marks

5.1

eLearning Platform – % Staff staff/workers(SBM) below Commissioner/Executive officer of ULB who have undertaken certifications on the e-courses platform on SBM portal

**Marks
19**

PURPOSE

This parameter assesses the ULB staff on capacity building initiatives undertaken by the ULBs. The staff is required to undergo video tutorials on the portal followed by a set of questions that need to answered in order to be certified.

MEANS OF VERIFICATION

- Course wise list of employees who have completed the e-learning courses to be verified by the assessor from data available with the MoHUA
- List of staff – All SBM Staff/workers below Commissioner/Executive Officer

*Following 5 courses will be mandatory-

1. IEC in religious places
2. Mainstreaming livelihoods in the sanitation sector
3. Segregation of waste
4. Waste to compost
5. Planning of FSSM at city level

Scheme of Ranking	Marks
100% of the staff completed at least 20 courses*	19
75 – 99% of the staff completed at least 20 courses*	14
50 – 79% of the staff completed at least 20 courses*	9
<50% of the staff completed at least 20 courses*	4

Note: Existing certificates will be valid.

5.2

% staff from Sanitation and Engineering department who have attended at least 3 workshops conducted under SBM from April 2018 to December 2018

**Marks
18**

PURPOSE

This parameter assesses whether the ULB official have attended workshops conducted under SBM(U) either by Ministry, National Institute of Urban Affairs, State or organized by the ULB itself

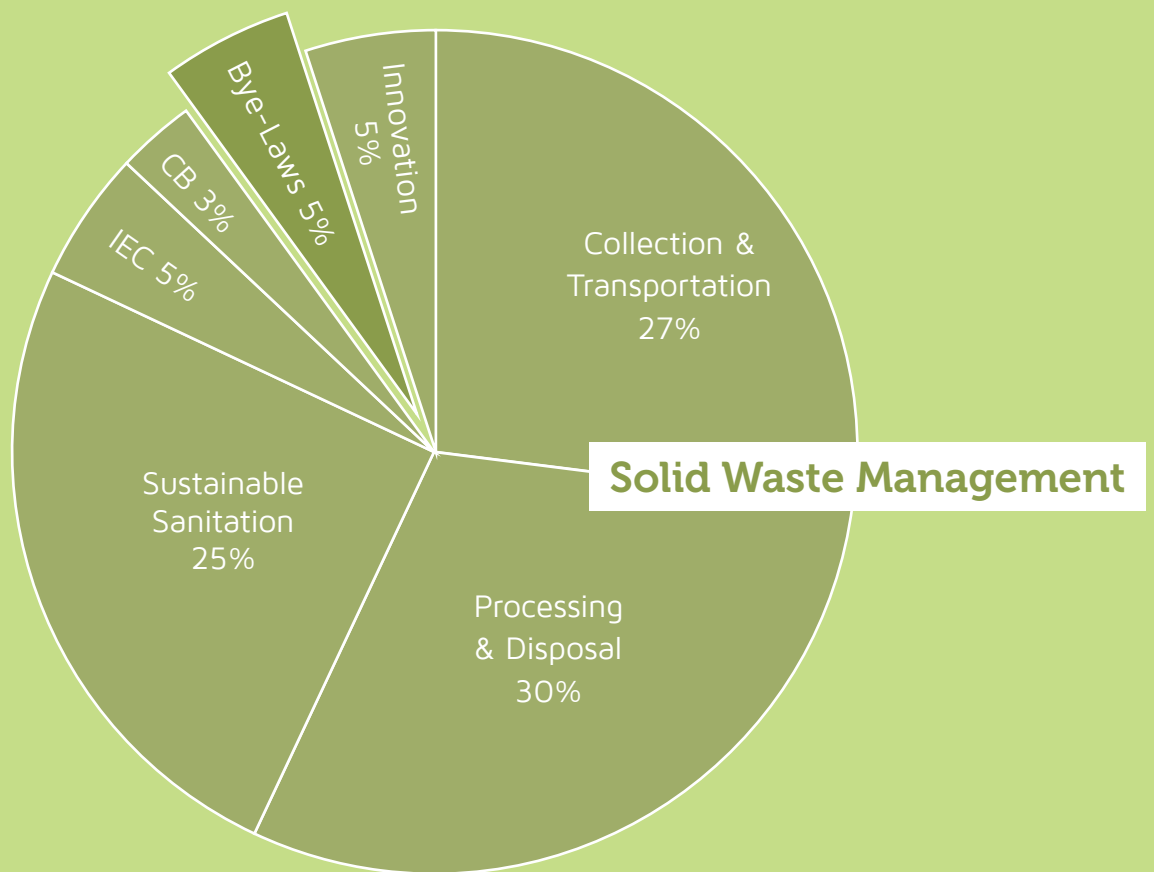
MEANS OF VERIFICATION

- For the workshops conducted:
 - Copy agenda/minute to minute program
 - Copy of attendance record(with details of chief guest)
 - Pictorial evidence or newspaper coverage
 - List of staff with phone numbers - Sanitary and Engineering Staff

Scheme of Ranking	Marks
>95% of the staff attended at least 3 workshops	18
75 – 95% of the staff attended at least 3 workshops	14
50 – 79% of the staff attended at least 3 workshops	9
<50% of the staff attended at least 3 workshops	4

6

Bye-Laws / Regulations



Total Number of Indicators: 4
62 Marks / 1,250 Marks

6.1

Has the ULB notified and enforced the Plastic Waste Management Rules 2016 as applicable to State/ULB

Marks
17

PURPOSE

This indicator would assess if the ULB has notified the Plastic Waste Management Rules 2016 or as applicable to the State Government. Are rules being enforced in the city?

MEANS OF VERIFICATION

- Copy of notification of Plastic Waste Management Rules 2016
- Copy of Challan / fine receipts issued to citizens to curb usage of plastic.
- Evidence stating mechanism in place for periodic checking of plastic usage in the city

Scheme of Ranking	Marks
Notified and Enforced	17
Notified but not enforced	12
Neither notified nor enforced	0

6.2

Are measures in place for user fee and penal action to curb Open Defecation/ Urination and Littering

Marks
15

PURPOSE

The indicator assesses regulatory and penal measures put in place by the ULB to check littering/open defecation/urination.

MEANS OF VERIFICATION

- To qualify the minimum number of challan(s) cut in the city must be no less than the number of OD, Litter and Urination spots.
- List of OD, Litter and Urination spots. This will be cross-checked through independent observation
- Copy of notification of spot for littering
- Copy of fines collected post release of spot fine notification
- Copy of challan/receipt books for collecting fines

Scheme of Ranking	Marks
Notified and Enforced	15
Notified but not enforced	10
Neither notified nor enforced	0

6.3

Has the ULB notified and enforced the Solid Waste Management Rules 2016 as applicable to State/ULB

Marks
15

PURPOSE

This indicator would assess if the ULB has notified the Solid Waste Management Rules 2016 or as applicable to the State Government. Are rules being enforced in the city?

MEANS OF VERIFICATION

- Copy of notification of Solid Waste Management Rules 2016
- Copy of Challan / fine receipts issued to citizens to enforce compliance of SWM 2016 rules.
- Evidence stating mechanism in place for periodic checking of compliance to SWM Rules in the city

Scheme of Ranking	Marks
Notified and Enforced	15
Notified but not enforced	10
Neither notified nor enforced	0

6.4

Has the ULB notified and enforced 'User Charges' to be collected from waste generators?

Marks
15

PURPOSE

This indicator would assess if the ULB has notified and enforced collection of 'User Charges' from waste generators?

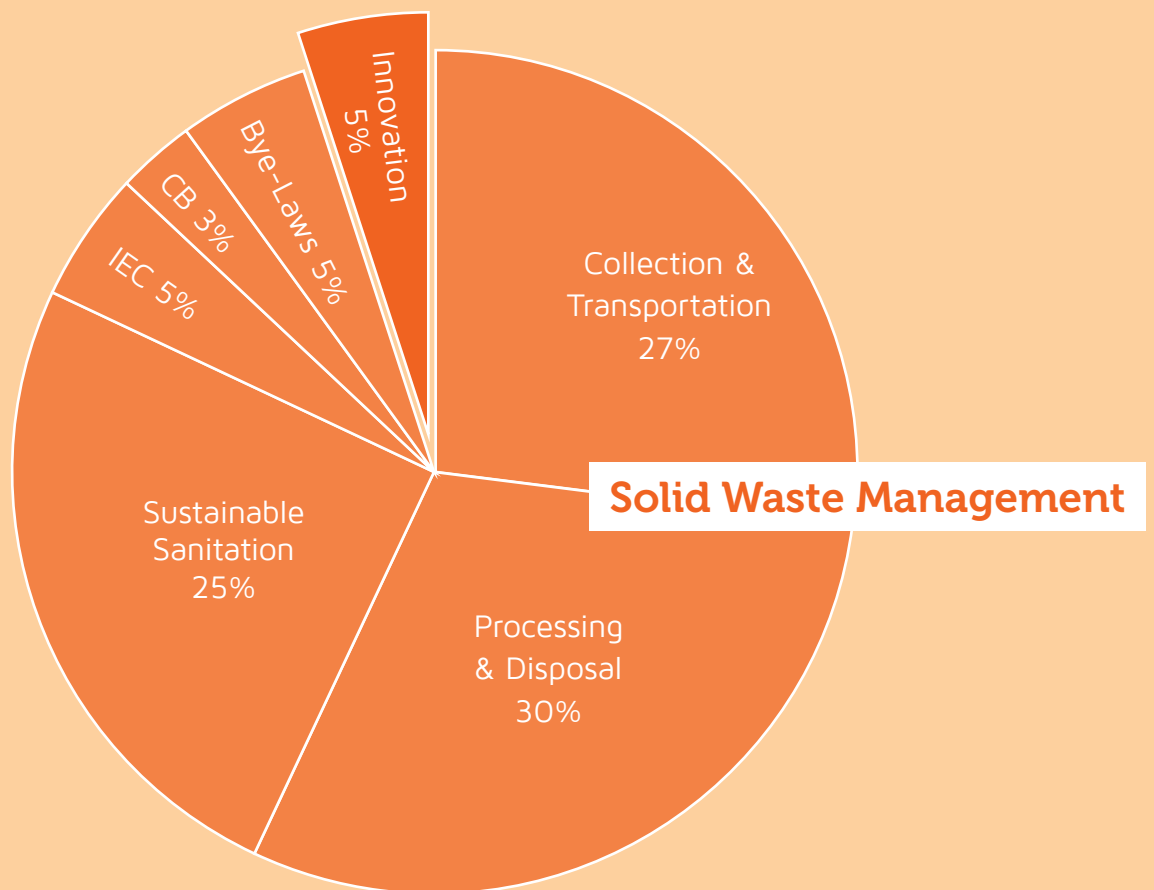
MEANS OF VERIFICATION

- Copy of notification of user charges
- Copy of Challan /receipts issued to waste generators for collection of user charges

Scheme of Ranking	Marks
Notified and Enforced	15
Notified but not enforced	10
Neither notified nor enforced	0

7

Innovation and Best Practices



Total Number of Indicators: 2
62 Marks / 1,250 Marks

7.1

Quality of project submitted by the ULB under 'Innovation & Best Practices' among the areas – Waste Management, Behaviour Change or ODF Sustainability

Marks
40

Cities may also refer some of the following interventions. However, Innovation areas are not limited to following interventions only -

- Sustainable Solutions
- Public Private Partnership
- Convergence across other flagship missions of the Government of India
- IEC & Behaviour Change
- Community Engagement
- Sale of by-products of processing
- Robust faecal sludge management system
- User friendly Community and Public Toilets

CATEGORY 1 : ULB

Scheme of Ranking	Max. Marks
Implementation	8
Novelty (Is your idea original or unique?)	8
Scalability	8
Financial Sustainability	8
Impact	8

- All cities are requested to submit one such project (max 5 pages), with photos, in the aforementioned categories. Comprehensive documentation and imaging for your project or initiative will make a stronger case for your city.
- Projects introduced between 1st January 2018 to 31st October 2018 will be evaluated.

7.2

Quality of Citizen led project submitted by the ULB under 'Innovation & Best Practices' among the areas – Waste Management, Behaviour Change or ODF Sustainability

Marks
22

Citizens may also design interventions from the following areas to attempt . However, Innovation areas are not limited to following interventions only -

- Sustainable Solutions
- Public Private Partnership
- Convergence across other flagship missions of the Government of India
- IEC & Behaviour Change
- Community Engagement
- Sale of by-products of processing
- Robust faecal sludge management system
- User friendly Community and Public Toilets

CATEGORY 2 : CITIZENS

Scheme of Ranking	Max. Marks
Implementation	6
Novelty (Is your idea original or unique?)	6
Scalability	5
Impact	5

- All cities are requested to mobilize citizens to submit one project (max 5 pages), with photos, in the aforementioned categories. Comprehensive documentation and imaging for your project or initiative will make a stronger case for your city.
- Projects introduced between 1st January 2018 to 31st October 2018 will be evaluated.

Evaluation Criteria for Innovations

1. IMPLEMENTATION

- The innovation should have been implemented at least 3 months before Swachh Survekshan-2019 start date
- The innovation should be easily implementable (i.e. should be economical – limited capital and opex/ manpower required should be feasible / any pre-conditions should be existing and practical)

2. NOVELTY

- The innovation should be a one-of-its-kind solution
- The exact same innovation/ best practice should not have been implemented elsewhere in India
- A part of the innovation could have been implemented elsewhere and then contextualised to the city's requirement

3. SCALABILITY

- There should be evidence showcasing scalability of the innovation to other parts of the city (i.e. there should be existing demand for such a solution/ requisite manpower/ sufficient capex and opex/ partner ecosystem/ etc. depending on the innovation)

4. FINANCIAL SUSTAINABILITY

- Project's opex should be covered by existing available finances/revenue stream

5. IMPACT

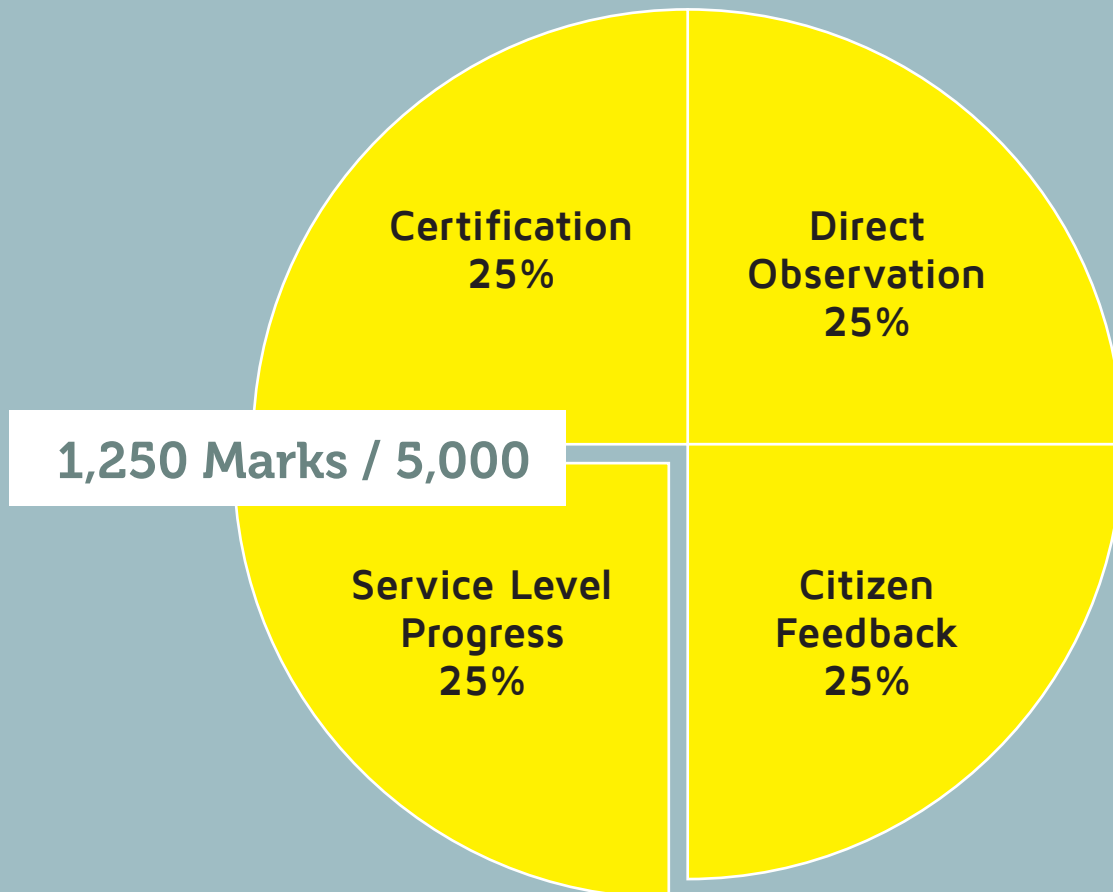
- Project should have achieved the envisaged impact as per initial project plan (city should showcase evidence of this impact through quantitative data/ newspaper coverage/ citizen feedback, etc.)
- Evidence showcasing sustainable impact (i.e. innovation should have a long-term positive outcome on the city)

Note:

Above 5 parameters are independent from each other. The ULB may lose/gain marks under different parameters.

PART-1A

Independent Validation of 'Service Level Progress'



To validate the progress claimed under 'Service Level Progress', assessors will cross check with citizens/residents/shopkeepers along with on-field checking of physical infrastructure/ICT based interventions.

The sample size for each city and negative marking on account of sample failure, can be referred from the table below..

Note: Indicator Numbers 3.7, 4.2, 4.3, 5.1, 6.1, 6.2, 6.3 & 6.4 will be out of the purview of Independent Validation

Population wise Samples to be collected

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Sample Count or Actual Numbers (whichever is lower) for applicable indicator	20	32	40	48

Independent Validation – Impact on 'Service Level Progress' Marks claimed

Step-1: % of samples failed will lead to same % of marks deducted from the marks claimed under 'Service Level Progress' = **Adjusted Marks**

Step-2: Negative Marking: On account of failure of samples from 20% onwards, further negative marking will be applied as per the following table, to calculate '**Final Marks**'

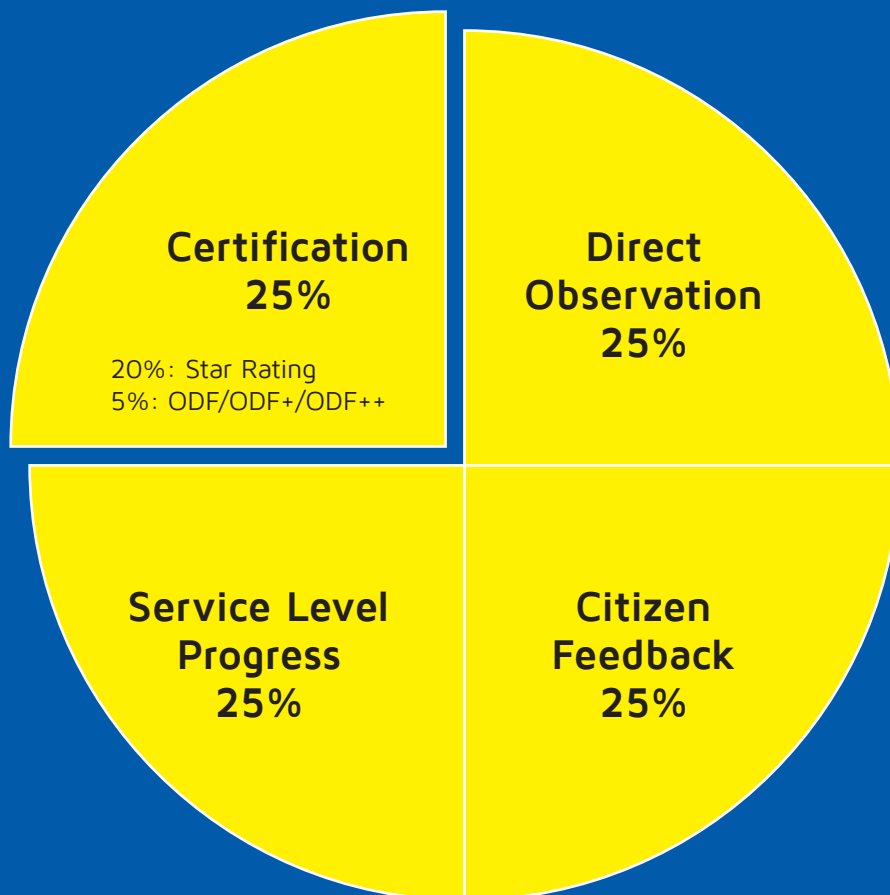
Sample Failure (%)	% of Negative Marking on Total Marks claimed, to be deducted from 'Adjusted Marks'
<20%	0%
20% - 49%	5%
50% - 74%	10%
75% - 99%	15%
100%	20%

Example:

Indicator no.	Total Marks	Marks Claimed	% of Samples failed	Marks of be deducted	Adjusted Marks	% of Negative Marking	Negative Marks	Final Marks
1.1	45	35	20%	7.0	28.0	5%	1.4	26.6
	45	35	15%	5.3	29.8	0%	0	29.8
	45	35	50%	19.3	15.8	10%	1.6	14.2

PART-2

CERTIFICATION



1,250 Marks / 5,000

2.1

Is the city certified under Star Rating Protocol for Garbage Free City - 3, 5, or 7 Star? Or declared 4 Star?

Marks
1000

PURPOSE

This indicator would assess the city on the Star Rating achieved. It may be noted that only 3 , 4, 5 and 7 star rating shall be applicable under the scheme of ranking

MEANS OF VERIFICATION

- Portal/Assessment report of third party agency appoint by the Government of India shall be considered for this evaluation.
- For 4 Star declaration – portal/ official communication from the state will be referred

Scheme of Ranking	Marks
Certified 7 Star without failure	1000
Certified 7 Star with failure	900
Certified 5 Star without failure	800
Certified 5 Star with failure	700
Declared 4 Star	600
Certified 3 Star without failure	500
Certified 3 Star with failure	450
Declared 2 Star	350
Declared 1 Star	200

2.2 ODF Status

Marks
250

PURPOSE

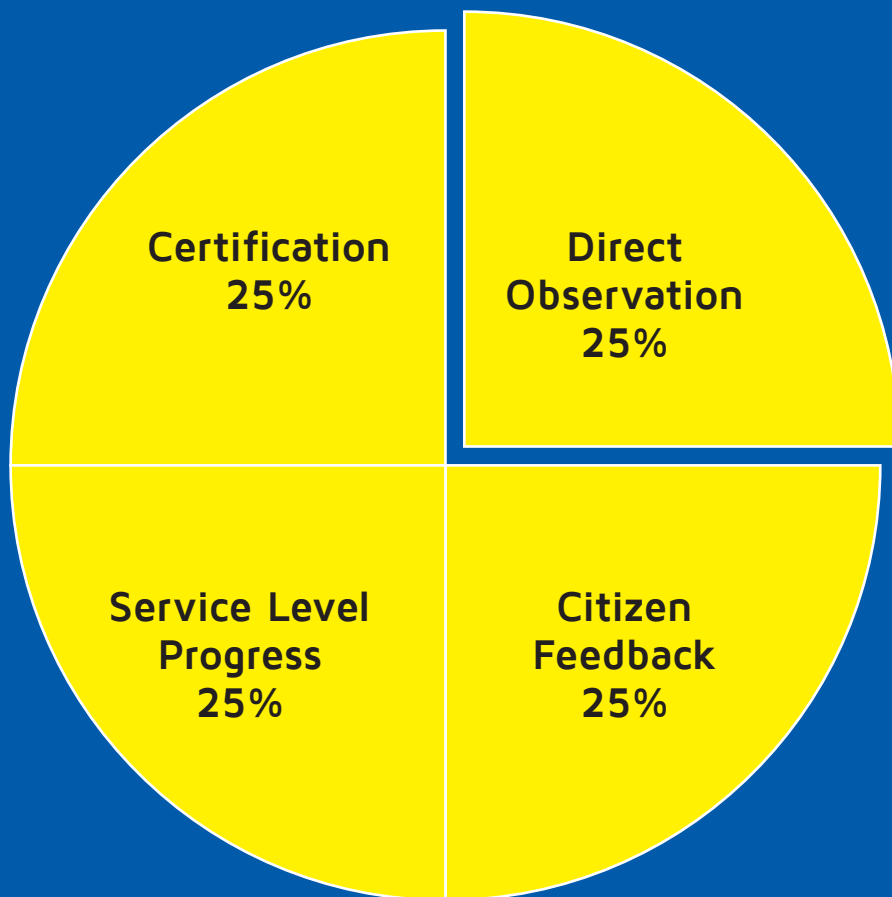
To encourage cities to become Open Defecation Free and further ensure sustainability, this indicator would assess the ULB on ODF, ODF+ and ODF ++ protocols adhered.

MEANS OF VERIFICATION

ODF/ ODF+ / ODF++ certification issued by the Government India upon recommendations of the third party shall be considered for awarding marks in this indicator

Scheme of Ranking	Marks
City is ODF ++ Certified	250
City is ODF + Certified	200
City is re-certified ODF without failure	150
City is ODF Certified/recertified ODF with failed attempt	100
City is self-declared ODF	25

PART-3
**DIRECT
OBSERVATION**



1,250 Marks / 5,000



1. Are the Residential and Commercial areas clean?
 Residential Areas should be picked from - Slum/Old City/
 Unplanned Area/ Planned Area

Scheme of Ranking	Marks
Yes, 100% clean (zero waste spot)	200
Yes, but not 100% clean (waste spotted in 1-2 points/ locations)	150
Partially clean (waste spotted in 3-5 points/locations)	100
Not clean (Waste spotted in >5 points/locations)	0

METHODOLOGY

- Assessors will move around the residential area and commercial areas to observe/ assess if the area is clean.
- Assessors will not interact with anyone. It will be purely their assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories-2 (Residential and Commercial areas)	2	2	2	2
Locations to be covered per zone	5	4	5	6
Total Zones in the city	2	4	4	5
Total Locations	20	32	40	60



2. Are Public and Community Toilets clean and user friendly - Total 250 Marks

Scheme of Ranking	Marks
Toilet is dry and clean with no broken tiles/wall plaster	40
Separate section for Men and Women	30
Bins available with each toilet seat – regularly emptied	10
Usable taps and fittings - running water and flush system	40
Toilet is child friendly – low height urinal / smaller seat	10
Ramp and bar for differently abled people	10

Scheme of Ranking	Marks
All areas in the toilet well lit – electric light and natural light	30
Availability of soap/soap dispenser near wash basin	10
Functional bolting arrangements on all doors	10
Caretaker is present for operations & maintenance	20
Adequate ventilation with fresh air flow	20
ICT based feedback system*	20

* For <1 lakh population cities, feedback register can be used

METHODOLOGY

- Assessors will not interact with anyone. It will be purely their assessment against the above check list
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories - 2 (CT and PT)	2	2	2	2
Locations to be covered per zone	3	3	5	6
Total Zones in the city	2	4	4	5
Total Locations	12	24	40	60



3. Are Public and Community Toilets are prominently displaying SBM messages designed by the Ministry or ULB, with Swachh Survekshan-2019 logo

Scheme of Ranking	Marks
Yes	80
No	0

METHODOLOGY

- Assessors will not interact with anyone. It will be purely their assessment of the situation.
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories - 2 (CT and PT)	2	2	2	2
Locations to be covered per zone	3	3	5	6
Total Zones in the city	2	4	4	5
Total Locations	12	24	40	60



4. Are the Public and Community toilets connected with onsite safe disposal system (Septic tank with no overflow) or sewer network – no open drainage

Scheme of Ranking	Marks
Yes	80
No	0

METHODOLOGY

- Assessors will not interact with anyone. It will be purely their assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories - 2 (CT and PT)	2	2	2	2
Locations to be covered per zone	3	3	5	6
Total Zones in the city	2	4	4	5
Total Locations	12	24	40	60



5. Whether all Vegetable/Fruit and Meat/Fish Markets are clean

- Area should be clean with zero litter, no animal dung and no solid waste blocking drains
- Litter bins available at every 50 meter, No Transfer Stations - waste being transported through vehicles for centralized processing OR On site processing being done
 - Market area should be free from stray cattle/animals
- Messaging around cleanliness through signage/displays/hoarding at every 100 meters

Scheme of Ranking	Marks
100 % adherence to all 4 parameters	170
100 % adherence to 3 parameters	130
100 % adherence to 2 parameters	100
100 % adherence to 1 parameter only	50

METHODOLOGY

- Besides their observations, assessors may also interact with vendors/shopkeepers to arrive at a final conclusion Assessors will click the pictures to support their observation/assessment
- Weekly vegetable/fruit markets and Mandis (APMC) are covered

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories-2 (Vegetable/Fruit and Fish/ Meat Market)	2	2	2	2
Locations to be covered per zone	2	2	3	4
Total Zones in the city	2	4	4	5
Total Locations	8	16	24	40



6. Catchment areas of biggest Railway Stations, Bus Stations/ Depots and Airport of city

- Catchment areas are clean (zero litter),
- No OD spot found on the railway tracks (500 mtr either side of the platform)/ near Bust Station/Airport,
- All shopkeepers in the catchment areas have litter bins and
- Swachh Survekshan-2019 hoarding/bill board/wall writing in place (City may avoid using plastic for IEC)

Scheme of Ranking	Marks
100 % adherence to all 4 parameters	170
100 % adherence to 3 parameters	130
100 % adherence to 2 parameters	100
100 % adherence to 1 parameter only	50

METHODOLOGY

- Assessors will visit catchment areas of biggest Railway Station, Bus Station/Depot and Airport of the city
- Assessors will not interact with anyone. It will be purely their assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Note: If no Railway Station or Airport in the city, then assessor shall visit the second biggest Bus Station or in the absence of second biggest Bus Station, other transport hubs (Taxi stand/Auto stand) shall be considered



7. Swachh Survekshan-2019: Hoardings/Billboards/Wall Writing visible in all commercial/public areas of the city (cities are encouraged to avoid use of plastic for IEC)

Scheme of Ranking	Marks
Yes	100
No	0

METHODOLOGY

- Assessors will not interact with anyone. It will be purely their own assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories - 2 (CT and PT)	2	2	2	2
Locations to be covered per zone	3	3	5	6
Total Zones in the city	2	4	4	5
Total Locations	12	24	40	60



8. Visible beautification of slums/old city areas, flyovers, public places ?
 (1) Wall paintings/murals/Artifacts, (2)Plantation, (3)Covered drainage, (4)No water logging, (5)No broken footpath/ pavement, (6)No solid waste in water bodies/storm water drains – filtration/screening system in place to check solid waste flowing

Scheme of Ranking	Marks
Yes for all 6 above	200
Yes for any 5 above	150
Yes for any 4 above	110
Yes for any 3 above	70
Yes for at least any 2 above	30

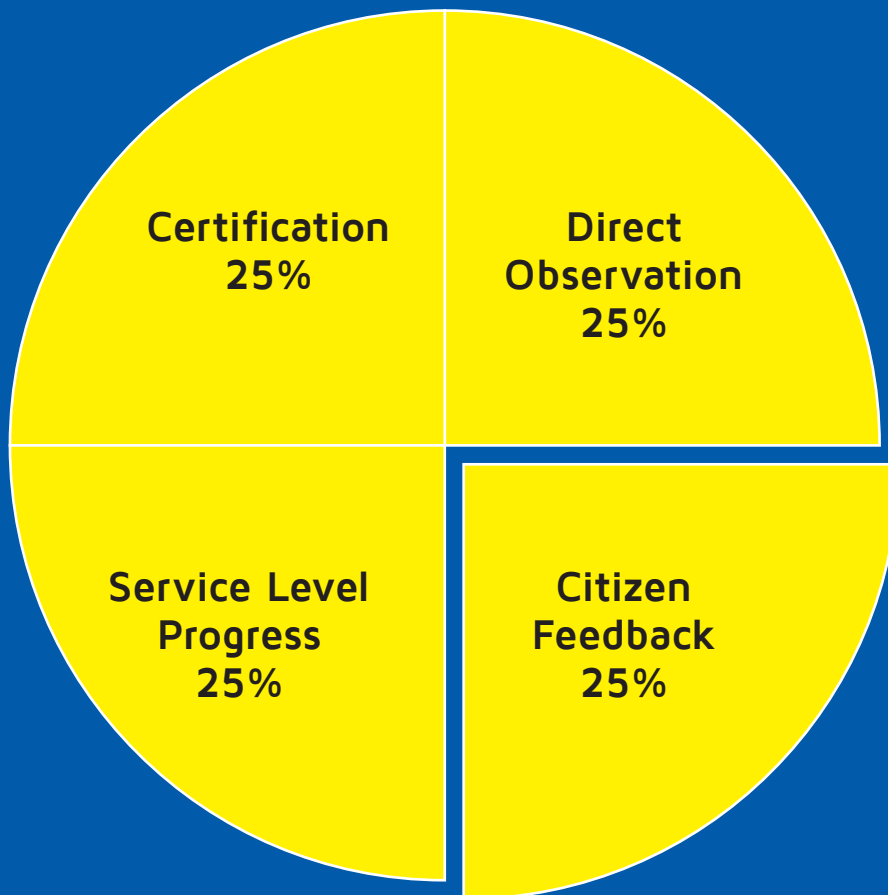
METHODOLOGY

- Assessors will visit all of the above mentioned areas/establishments
- Assessors will not interact with anyone. It will be purely their own assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Category-2 : Slums and public places	2	2	2	2
Locations to be covered per zone	5	4	5	6
Total Zones in the city	2	4	4	4
Total Locations	20	32	40	48

PART-4

CITIZEN FEEDBACK



1,250 Marks / 5,000

850 : Citizens Questions
400 : Swachhata App



1. Are you aware that your city is participating in Swachh Survekshan 2019?

(To assess if city promoted its achievement in Swachh Survekshan by reaching out to citizens)

Scheme of Ranking	Marks
Yes	125
No	0



2. Are you satisfied with the cleanliness level in your city?

(To assess if citizens feel the visible improvement in cleanliness)

Scheme of Ranking	Marks
Yes - very clean or no complaints	125
Not really - but better than last year	100
No change – status quo	50
No, worse than last year	0



3. Are you able to easily spot litter bins in commercial and public areas?

(To assess if ULB has placed litter bins at strategic/critical locations - commercial and public areas)

Scheme of Ranking	Marks
Yes, and no spillover	125
Yes, but always full/spillover	70
Not much	30
Not at all	0



4. Whether you are asked to give segregated dry and wet waste to your waste collector?

(To assess if segregation at source is enforced by the ULB)

Scheme of Ranking	Marks
Yes	125
No	0



5. Do you know where your waste goes after collection – dumping site/ sanitary landfill site or processing site?

(To assess if citizen are aware how their waste is managed by the city)

Scheme of Ranking	Marks
Yes	100
No	0



6. Do you find urinals/toilets are accessible and clean now
(To assess if citizens are accessible to clean urinals/toilets in public places)

Scheme of Ranking	Marks
Yes	125
No	0



**7. Do you know the ODF status
of your city?**

(To ascertain whether ULBs are engaging
their citizens to achieve ODF status)

Scheme of Scoring	Marks
Yes – its ODF (declared/certified) or its not ODF	125
No	0



Swachhata App

1. Number of Active Users on Swachhata App/Swachh Manch/ Local App (integrated with SwachhataApp)

Active users could be anyone who has done any of the following activities during that month:

- Posted a Complaint • Voted up on a Complaint
- Commented on a Complaint • Given Feedback on a resolved Complaint
- Volunteers for an Event through Swachh Manch
- Shared an Event on Swachh Manch (Social Media)
- Successfully Creates an Event on Swachh Manch.

Scheme of Ranking
Maximum score: 100
Percentage as calculated by the formula below becomes the score for that month.
Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month's percentage

METHODOLOGY:

- Ranking will be done Month on month basis (effective from 11st August 2018 to 31st January 2019).
- Every Month's final rank will be calculated as average of the following parameters
- 2% population download condition will apply to qualify
- Formula would be –

User Engagement= (Number of Active Users)/Registrations of the city X100

* Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month score from 11 August, 2018 to 31st January 2019



Swachhata App

2. What percentage of complaints are resolved within SLA (Service Level Agreement) time frame?

Scheme of Ranking
Maximum score: 100
Percentage as calculated by the formula below becomes the score for that month.
Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month's score

METHODOLOGY: Resolution Rate

• Formula would be:

$$\text{Resolution Rate} = (\text{Number of Complaints Resolved} - \text{Reopened Complaints} - 2 \times \text{Fake Resolutions}) / \text{Total Complaints in the city} \times 100$$

Note: The formula would be applicable only if a city has received a number of complaints equal to 0.1% of the population in that month.

* Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month score from 11 August, 2018 to 31st January 2019



Swachhata App

3. Total Registrations: What percentage of population have downloaded the SwachhataApp/Local App or joined Swachh Manch (all inclusive) till 31st January 2019?

Scheme of Ranking	Marks
>=15%	100
>=10% & <15%	80
>=8% & <10%	60
>=6% & <8%	40
>=4% & <6%	30
>=2% & <4%	20
< 2%	0

METHODOLOGY: Resolution Rate

- Formula would be:

Resolution Rate = (Number of Registrations)/Population of the city x100

Note: The minimum qualification criteria for this 2% of registrations.

Final Score of this indicator for Swachh Survekshan 2019 will be the calculated as per the table above.



Swachhata App

4. User Feedback on resolved complaints

Scheme of Ranking
Maximum score: 100
Percentage as calculated by the formula below becomes the score for that month.
Final Score for Swachh Survekshan-2019 of this indicator will be the average of every month percentage

METHODOLOGY: User Feedback

• Formula would be:

$$\text{User Feedback} = \frac{\text{Number of positive feedbacks on Complaints resolved within SLA}}{\text{Number of Complaints resolved in SLA}} \times 100$$

Note: The formula would be applicable only if a city has received a number of complaints equal to 0.1% of the population in that month

- Only complainant’s feedback will be considered
- Minimum 10% Active user in that particular month will be mandatory to qualify for this indicator
- Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month score from 11 August, 2018 to 31st January 2019



**Ministry of Housing
and Urban Affairs**
Government of India